

370-NATURAL RESOURCES

RDA #	RDA Title	Retention	Disposition	PII
<u>00084000.</u>	<u>OPERATIONAL CORRESPONDENCE</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
	<p>This records series covers the official copy of internal and external correspondence created or received by the DNR regarding general operations and procedures of the agency. Correspondence is of a routine nature and does not interpret policy, document DNR enforcement actions, or deal with controversial issues. The official copy is the originator's or primary recipient's copy of correspondence. Topics covered include, but are not limited to:</p> <ul style="list-style-type: none"> - "Housekeeping" or administrative operations of the department; - Operational procedures, announcements to staff (furlough days, vacations) - Routine work plans, interim project status - Notices of a general, non-controversial nature: hours of operation, directions to offices, etc. <p>Correspondence media include paper letters and memos, electronic records, including e-mail messages and related attachments, informational postings on DNR web pages or web logs, PDF, etc.</p> <p>RETENTION: EVENT (Creation or receipt, whichever is later) + 2 years and destroy</p>			
<u>00121000.</u>	<u>BARDI - BOAT ACCIDENT ELECTRONIC DATA - FEDERAL</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	<p>Records series is a DNR database for Wisconsin boat accident data. The federal BARDI system is a nationwide database maintained by the U.S. Coast Guard. DNR collects and reports Wisconsin data and can retrieve information in BARDI from other states. Data includes names of individuals involved, date of occurrence, injury, accident location and others involved. Data is continuously updated.</p> <p>RETENTION: EVENT (Superseded by updated data) and destroy</p>			
<u>00141000.</u>	<u>LAW ENFORCEMENT ACCIDENT INCIDENT & INTERIM STATUS REPORTS - A</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	<p>The Bureau of Law Enforcement compiles statistics and generates incidental reports and statistics on accidents for all types of recreational safety programs throughout the year. At the end of the year or season, these reports are updated and incorporated into year end or end-of-season publications. The incidental reports may be posted on the DNR Internet page and widely distributed, including the following examples:</p> <ul style="list-style-type: none"> * Gun Deer Hunting Incident Synopsis - Annual * Snowmobile Fatality Summary - Seasonal * Wisconsin ATV Fatality Summary * Wisconsin Boating Fatality and Incident Reports <p>Since these reports are updated and incorporated into publications (below), retention for the incidental reports is EVENT (superseded or updated) and destroy</p> <p>RETENTION: EVENT (Superseded by final report) and destroy</p>			
<u>00147000.</u>	<u>ACCIDENT REPORTS - RECREATIONAL SAFETY PROGRAMS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
	<p>Accident reports related to the following activities must all be filed with the Department of Natural Resources Bureau of Law Enforcement.</p> <ul style="list-style-type: none"> + Boating (Wis. Stat. § 30.67) + Hunting, Fishing or Trapping (Wis. Stat. § 29.345) + Snowmobile (Wis. Stat. § 350.15) + All-Terrain Vehicle (ATV) and Utility Terrain Vehicle (UTV) (Wis. Stat. § 23.33(7)) + Off-Highway Motorcycle (OHM) (Wis. Stat. § 23.335(18)) <p>Reports include names of individuals involved in the accident, date and time of occurrence, type of injury, type of fatality, accident location and summary, and a summary of the cause of the accident. Reports may be used as evidence in a trial.</p> <p>RETENTION: EVENT (Creation) + 6 years and destroy confidential</p>			
<u>00147B00.</u>	<u>ANNUAL ACCIDENT REPORT</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
	<p>Records in this series include summarized data from the accident reports. Annual reports are created for boat, snowmobile, ATV, UTV, OHM and hunter education accidents.</p> <p>Note: This series covers accident reports that do not become publications (covered in RDA #00141.)</p> <p>RETENTION: EVENT (Creation) + 25 years and destroy</p>			
<u>00183000.</u>	<u>ENVIRONMENTAL SITE REGISTER (ESR) DATA FILE</u>	<u>CR+20</u>	<u>DEST</u>	<u>Y</u>
	<p>ESR records contain core information about facilities, organizations and people regulated by the DNR. This program, written in Oracle, is set up on the DNR network. The Site Register includes:</p> <ul style="list-style-type: none"> • General facility information (name, location and address) 			

- What kind of permits, licenses and activities a facility has; the kind of environmental fees that have been assessed and paid by the facility.
- When a facility was inspected and any compliance information
- Which DNR programs regulate the facility
- Who the facility and DNR program contacts are
- Different IDs that agency may have for a facility

ESR is linked with other systems and is updated every night with facility, location, organization and contact information. Regulatory information is updated weekly.

RETENTION: EVENT (Date entered into system or date of assessment) + 20 years and destroy confidential

<u>00184000.</u>	<u>ENVIRONMENTAL FEE POLICIES</u>	<u>CR+20</u>	<u>DEST</u>	<u>N</u>
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Records in this series include formulae, calculation factors & other documentation of the basis for environmental fees assessed for each program. Guidance is received through various State Statutes and Federal Codes. Records include email, and other policy correspondence regarding the annual billing policies.

RETENTION: EVENT (Creation) + 20 years and destroy

<u>00210000.</u>	<u>WPDES PERMIT CASE FILES - SPECIFIC (INDIVIDUAL) PERMITS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Industrial and municipal WPDES permits issued in the central office and regions. Records include permits, applications, fact sheets, public notices, correspondence, inspection reports, sludge reports, and related documents. Other records include:

- * Wastewater discharge sampling, analysis and compliance forms, reports, summaries and permits;
- * Facility contact and inspection tracking materials including checklists & reports
- * Sludge disposal and management applications, information, characteristics, landfill materials and site loading.
- * Landspreading site evaluation, land application approval, by-product analysis, site loading.

RETENTION: EVENT (Superseded by new permit or decision that no permit required) + 10 years and destroy

<u>00211000.</u>	<u>SWAMP (SYSTEM FOR WASTEWATER APPLICATIONS, MONITORING, AND PERMITS)</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Electronic record of WPDES-related documents and data. SWAMP data is backed up regularly by the Division of Enterprise Technology (DET). This backed up data can be obtained in an emergency. Watershed File Service documents are backed up weekly. There is a process to request these documents be retrieved from backup.

WPDES Specific (Individual) Permits (formerly #00210 - electronic media only): Industrial and municipal WPDES permits issued in the central office and regions are created and stored in SWAMP. Records include permits, applications, fact sheets, public notices, correspondence, inspection reports, sludge reports, and related documents. Other records include:

- * Wastewater discharge sampling, analysis and compliance forms, reports, summaries and permits;
- * Facility contact and inspection tracking materials including checklists & reports
- * Sludge disposal and management applications, information, characteristics, landfill materials and site loading.
- * Landspreading site evaluation, land application approval, by-product analysis, site loading

WPDES General Permits (formerly #00221): WPDES general permits are generic permits that address a category of related discharges. A General Permit is public noticed for the entire state and conveyed to each permittee by letter. Types of General Permits include those issued for noncontact cooling water and boiler blowdown, concrete products, land application of liquid wastes, swimming pools, ballast water, pesticides, concentrated animal feeding operations (CAFO), etc. The names and addresses of General Permittees by permit type and the date of each permit are retained in the SWAMP database.

WPDES Permit Discharge Monitoring Report (DMR) Forms (formerly #000213, #00214 and electronic portion of #00215): records in this series include wastewater DMR information reported by WPDES permittees on electronic DMR forms 3200-28 and 3299-040 and supplemental information and/or equivalent reports generated by permittees using personal computers. The DNR now requires submittal of DMRS electronically. Upon receipt of a signed certification statement monthly, the DMR file is loaded. The information includes wastewater flows and concentrations and quantities of various pollutants discharged.

WPDES Whole Effluent Toxicity (WET) Reports (formerly #00216): central office staff enters data from WET Report Forms reported by WPDES permittees in SWAMP. Includes toxicity test results for fish and other aquatic life exposed to the permittees' effluent.

WPDES Municipal Compliance Maintenance Annual Report (CMAR) (formerly #00220): Self-evaluation tool for municipal wastewater treatment plants (WWTP) that promotes the owner's awareness and responsibility for wastewater collection and treatment needs, measure the performance of the WWTP during a calendar year and assesses its level of compliance with permit requirements. Municipal permittees are required to provide an electronic CMAR to the DNR by June 30 each year. These reports are stored electronically in SWAMP. Summary reports can be generated from the program.

WPDES Event Tracker (formerly #00212): Includes permittee names and address, permit identification numbers, dates of permit issuance, reissuance, modifications, public notices, informational public hearings and permit expiration dates, contacts with facility representatives, and violation tracking. Also includes reports (printouts) for permit events. Electronic records are continuously updated.

Pretreatment Data for Categorical Industrial Users (formerly #00234): Electronic record of pretreatment sampling points and discharge limits for categorical industrial users. Data elements include: facility identifiers, ownership, applicable regulations, sampling locations. This is stored in SWAMP. The file is continuously updated, as facility information, applicable regulations, and/or sampling locations change.

Land Application Management Program (LAMP) (formerly #00228): municipal permittees are required to provide reports to the DNR to describe pollutant concentrations in the sludge and sites where sludge is applied. This electronic file contains names of permittees, concentrations of pollutants in the sludge, dates and other relevant information (formerly SLUMP).

Groundwater Monitoring Reports (formerly #000229): industrial and municipal permittees discharging to the land are required to drill ground water monitoring wells in the vicinity of the wastewater discharge. The permittee is then required to monitor the wells for pollutants and provide reports to the DNR. This electronic record provides the name of the permittee, pollutant levels and dates of measurement.

WPDES Permit Quarterly Non-Compliance Report (QNCR) (formerly #00218): The QNCR describes WPDES permit violations of major municipal and industrial permittees, actions of the permittees to regain compliance, and the department's regulatory actions and enforcement follow-up. DNR is required to prepare and send the QNCR to USEPA each quarter, as required by the 106 program grant under the Clean Water Act.

Municipal Wastewater Sanitary Sewer Overflow (SSO) (formerly #00223): A General Permit is issued to satellite sanitary sewer collection systems requiring them to report any sewage that overflows the sewer system. Data includes: date and location of overflows, amount of precipitation during the overflow, and volume of sewage. Electronic records are kept in event tracker in SWAMP under a subcategory titled: Sanitary Sewer Overflow and Bypass Summary.

NR 213 Industrial Wastewater Lagoon Evaluations (Formerly #00238): Electronic file lists the names, permit numbers, district locations of industrial wastewater lagoons and their compliance status per nr 213.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

Permanent Justification: DNR has continuous research need for these records. Rules are amended frequently, and complete background information is needed.

Retention: Permanent

Note: Plans are in place to archive data after 10 years (backup to disc, remove from SWAMP). This has not been done to date, though SWAMP came on-line in 2000. Records would be archived, but not destroyed.

<u>00215000.</u>	<u>WPDES PERMIT DISCHARGE MONITORING REPORT (DMR) FORMS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include wastewater discharge monitoring information reported by WPDES permittees on their paper DMR forms 3200-28 and 3200-040 and supplemental information and/or equivalent reports generated by permittees using personal computers. The information includes wastewater flows and concentrations and quantities of various pollutants discharged. NOTE: DMRs have been accepted electronically on a voluntary basis since 2002. Electronic submittal is required from all discharges starting in January 2011. So, in 5 years we should no longer have paper DMR files. See RDA #00211 for electronic submittal.

RETENTION: EVENT (Superseded) + 5 years and destroy

<u>00217000.</u>	<u>WPDES PERMIT WHOLE EFFLUENT TOXICITY (WET) FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Series covers paper reports with wet data for fish and aquatic life exposed to permittees' effluent, as well as correspondence and other documents having to do with toxicity reduction evaluations (TRE) and other toxicity investigations.

RETENTION: Event (Superseded) + 10 years and destroy

<u>00222000.</u>	<u>WPDES PERMITS: GENERAL PERMITTEE CASE FILE</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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WPDES General Permits are generic permits that address a category of related discharges. A general Permit is public noticed for the entire state and conveyed to each permittee by letter. Types of General Permits include those issued for noncontact cooling water and boiler blowdown, concrete products, land application of liquid wastes, swimming pools, ballast water, pesticides, concentrated animal feeding operations (CAFO), etc. This record series includes the case files for each general permittee, including: applications, correspondence, inspection reports or other information relating to each facility under a General Permit.

RETENTION: EVENT (Superseded by new permit) + 10 years and destroy

<u>00224000.</u>	<u>WPDES PERMITS: MUNICIPAL STORMWATER PERMIT CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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This file contains the stormwater Permit and Permit Applications for all municipalities required to obtain a stormwater permit pursuant to NR 216 Wis. Adm Code. The file also contains correspondence and other information related to the permit.

RETENTION: EVENT (Superseded by new permit) + 10 years and destroy

<u>00225000.</u>	<u>WPDES PERMITS: MUNICIPAL, INDUSTRIAL AND CONSTRUCTION SITE STORMWATER DISCHARGE PERMITS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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The Stormwater Discharge Permit Program (STORM) is specifically described in NR 216 Wis. Adm. Code. STORM is a computer database, using a PowerBuilder interface to access Oracle tables that includes the names and addresses of the permittees, the standard industrial code description of the industrial permittees, and other relevant information. STORM will be discontinued, and

SWAMP will then be used to enter and track storm water permit data. Most of the work on creating an integrated test version of SWAMP is complete, there just still needs to be some testing done before the switch can be made. The data entered into STORM populates Oracle tables just as SWAMP does, so the backup regime and frequency is the same.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

Permanent Justification: DNR has continuous research need for these records. Rules are amended frequently, and complete background information is needed.

Retention: Permanent

<u>00226000.</u>	<u>WPDES PERMITS: INDUSTRIAL STORMWATER GENERAL PERMIT CASE FILE</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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These files include permit applications, correspondence, inspection information, Stormwater Pollution Prevention Plan Summary Forms, permit status information, history, and related information dealing with each stormwater general permit.

RETENTION: EVENT (Superseded by new permit) + 10 years and destroy

<u>00227000.</u>	<u>WPDES PERMITS: CONSTRUCTION SITE STORMWATER CASE FILE</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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These files include permit applications and may also include correspondence, inspection information or other information relating to each construction site permit, including Notice of Termination Forms for the construction site, Form 3400-162.

RETENTION: EVENT (Site stabilization achieved and site Notice of Termination received) + 10 years and destroy

<u>00230000.</u>	<u>ANIMAL WASTE PROGRAM CASE FILES: NON-PERMITTED FARMS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Files contain reports, records and correspondence concerning the DNR's Animal Waste regulatory program. CASETRACK is an Oracle product which contains electronic files with information on regulatory activities: dates, locations, and descriptive information concerning animal waste case incidents.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Date of final Department Action) + 10 years and destroy

<u>00232000.</u>	<u>WASTEWATER NEWSLETTERS & NOTICES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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The Water Quality Program periodically issues newsletters or notices to provide current information on industrial wastewater, municipal wastewater, septage and guidance for completing Discharge Monitoring Reports.

RETENTION: EVENT (Superseded date) + 10 years and destroy

<u>00233000.</u>	<u>PRETREATMENT PROGRAM MUNICIPAL PRETREATMENT PROGRAM KEY D</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Includes municipal pretreatment program approval documents, sewer use ordinances and industrial baseline reports.

RETENTION: EVENT (Superseded) + 10 years and destroy

<u>00233B00.</u>	<u>PRETREATMENT PROGRAM CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Includes annual reports, industrial use control documents, compliance reports, audit and inspection reports and correspondence. The Region Wastewater Supervisor or designee in each region maintains a regional copy of the file for the same retention period.

RETENTION: EVENT (Superseded) + 5 years and destroy

<u>00237000.</u>	<u>ELECTRONIC TRACKING SYSTEM FOR WASTEWATER TREATMENT SYSTEM</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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§ 281.41 Wisconsin Statutes requires DNR approval of wastewater treatment systems prior to construction. Plans and specifications for municipal, industrial, pretreatment, and facility plans for municipal treatment plant expansions are sent to the DNR for review and approval. The DNR retains a copy of paper plans and specifications and related correspondence until converted to electronic records (older files on microfilm, newer files in PDF format). The personal computer electronic tracking system (MS Access) is used to track receipt of all submittals and to track response within the approval period provided.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

Retention: Permanent. DNR has continuous research need for these records. Rules are amended frequently, and complete background information is needed.

<u>00239000.</u>	<u>SOIL ABSORPTION SYSTEM/HOLDING TANK APPROVALS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
<p>The DNR reviews plans connecting mixed domestic and non-domestic wastewater to a soil absorption system or holding tank for concurrence with Wisconsin Economic Development Corporation approvals. (DNR does not approve these plans, but only reviews them for concurrence with EDC.) Records in this series consist of submittal materials and concurrence letters to the owner or installer approving the requested action. Concurrence letters are stored as MS Word documents on the Watershed file service.</p> <p>Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf.</p> <p>Permanent Justification: DNR has continuous research need for these records. Rules are amended frequently, and complete background information is needed.</p> <p>Retention: Permanent</p>				
<u>00241000.</u>	<u>SWEET CORN SILAGE STORAGE SITES <1200 TONS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
<p>Name, location and evaluation report for each corn silage storage site.</p> <p>RETENTION: EVENT (Superseded) + 5 years and destroy</p>				
<u>00242000.</u>	<u>WASTEWATER PROGRAM POLICY ISSUES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
<p>The Electronic Guidance Access Directory (EGAD), created and maintained in Access, documents and provides access to Wastewater Guidance and other useful resources. Each entry (or record) represents an individual guidance document, an administrative code reference or a set of informational materials listed by subject area. Many of the materials that reside on the web or on the Watershed file service can be easily accessed by clicking on links while searching the data.</p> <p>Records in this series include reports, correspondence and other information concerning significant wastewater policy issues, not including administrative code records. The Wastewater Policy & Management Team (PMT) generally is involved in developing, reviewing and approving all new policy records developed. Records in this series may contain information related to development of program policies, correspondence related to interpretation of policies, and recommendations related to policy implementation.</p> <p>Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf.</p> <p>RETENTION: EVENT (Superseded) + 20 years and destroy</p>				
<u>00244000.</u>	<u>WASTEWATER CONFIDENTIAL FILE</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
<p>Records in this series contain confidential information, as determined by NR 2.19, Wis. Adm. Code and s. 19.32 et. al., Wis. Stats. Records include trade secrets, proprietary information and items that are determined to be confidential as specified in the code and statutes. Records in this series are maintained in a locked file, and access to information in this file is restricted to authorized wastewater program staff.</p> <p>RETENTION: EVENT (Superseded) + 25 years and destroy</p>				
<u>00245B00.</u>	<u>SEPTAGE LANDSPREAD & DISPOSAL</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
<p>Per § .281.48 & 281.49, Wis. Stats., and NR 113, Wis. Adm. Code, septic tank pumpers obtain a license from the DNR to haul septage and must maintain records of:</p> <ul style="list-style-type: none"> * Septage landspreading locations and amounts * Septage disposed at municipal wastewater treatment plants. <p>Each septage hauler is required to provide an annual account of the locations and amounts of septage landspread and disposed at Municipal Wastewater Treatment Plants. This records series covers those annual reports submitted.</p> <p>RETENTION: EVENT (Superseded) + 10 years and destroy</p>				
<u>00260000.</u>	<u>CLEAN WATER FUND PROGRAM PROJECT FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
<p>Under Wis. Stat. §§ 281.58 and 281.59, and Wis. Adm. Code ch. NR 162, the Clean Water Fund Loan Program records series includes any type of loan project that entails qualified municipalities receiving subsidized loans which allows them planning, design, engineering, and construction of wastewater treatment works and urban storm water runoff projects.</p> <p>These loans are subject to continued monitoring, Department inspections and approvals in case of any alterations, sale or lease possibilities or other changes to the land use.</p> <p>This series includes project files that document the terms and conditions of the loan, including loan applications, agreements with engineering firms, budget information, financial assistance agreements, disbursement requests, and all attachments, agreements, amendments, project plans, and final reports.</p>				

RETENTION: EVENT (DOA certification date for final project closeout) + 20 years and destroy

<u>00260A00.</u>	<u>SAFE DRINKING WATER LOAN PROGRAM PROJECT FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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Under Wis. Stats. §§281.61 and 281.59, and Wis. Adm. Code ch. NR 166, the Safe Drinking Water Loan Program provides subsidized loans to assist qualified municipalities to plan, design, construct or modify public water systems. These loans are subject to continued monitoring, Department inspections and approvals in case of any alterations, sale or lease possibilities or other changes to the land use. This series includes project files that document the terms and conditions of the loan, including loan applications, agreements with engineering firms, budget information, financial assistance agreements, disbursement requests, and all attachments, agreements, amendments, project plans, and final reports.

RETENTION: EVENT (DOA certification date for final project closeout) + 20 years and destroy

<u>00262000.</u>	<u>LOAN PROJECTS NON-ESSENTIAL CASE FILE DOCUMENTS AND CORRESPONDENCE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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Records in this series cover very routine types of documents generated during the course of the loan period. After close, these items lose value and need not be retained. May include news clippings, notes, routing slips, and non-substantive correspondence.

RETENTION: EVENT (DOA certification date for final project closeout) + 1 year and destroy

<u>00268000.</u>	<u>ENVIRONMENTAL IMPROVEMENT FUND (EIF) SUMMARY HISTORY DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Records in this series include continuous electronic data, currently in the Environmental Loans Oracle System (ELOS), for the community financial assistance loan program. Records in this series include summary information to identify each loan program in the bureau. It provides summary historical data to track key actions including municipality, funds approved, funds expended, project type, and loan location tracking data with long-term value. The current database is updated regularly.

Elf Detail data - received loan: This record series covers detail project data in the ELOS system for projects that received loans. Includes routine detail data regarding loan projects, including: invoice tracking, data indicating status of project review and approval, detail data tracking disbursement of loan funds, and other information that tracks the loan project through completion and file maintenance data.

Permanent Retention Justification: required for continued administrative reference purposes and to respond to requests for information. The data provides summary information and documentation of Department actions for each loan program. Data has long-term management value, and summary data in this series will be migrated forward as systems change.

RETENTION: Permanent

<u>00311000.</u>	<u>LE OFFICER SKILLS MANAGER RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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This electronic database contains records tracking each DNR law enforcement officer, including wardens, park and forest rangers. Records includes officer name, position, location, summary data documenting qualifications including firearms training, firearms assigned to each officer, other training completed. Records are contained in an off-the-shelf software package and maintained by the LE Training Director for wardens and the Chief Ranger for Rangers.

RETENTION: EVENT (Employee terminates employment) + 5 years and destroy

<u>00312000.</u>	<u>LE OFFICER RECRUITMENT CASE FILES-HIRED</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records in this series cover the background investigation materials for DNR law enforcement wardens charged with police powers under Ch. 29, Wis. Stats. Recruitment records include forms, reports and other materials generated in the process of conducting background investigations to hire DNR law enforcement wardens.

Note: Department of Justice policy allows for 2-year reinstatement in the law enforcement field, if all qualifications are met.

Note: Paper can be destroyed confidentially when recorded electronically and QC checked.

RETENTION: EVENT (Employee terminates) + 5 years and destroy

<u>00312A00.</u>	<u>LE OFFICER BACKGROUND INVESTIGATION CASE FILES - NOT HIRED</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records cover background investigation forms, reports and other materials collected in the process of screening applications for DNR law enforcement positions. Records are retained after hiring decisions are made in case other positions soon become available. A summary of the background check is created. The TIME system background check is created. The TIME system background check, a subset of the background documents which are protected by CJIS (Criminal Justice Information System) policies, is destroyed confidentially following the creation of the summary.

Note: Paper can be destroyed confidentially when recorded electronically and QC checked.

RETENTION: EVENT (Hiring decision date) + 3 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
<u>00313000.</u>	<u>LE OFFICER TACTICAL TRAINING COURSE MATERIALS</u>	<u>EVT+8</u>	<u>SHSW</u>	<u>Y</u>
	Law enforcement training materials and lesson plans document required training in the subjects of firearms, defensive and arrest tactics, emergency vehicle operations, vehicle contacts and professional communications. Records in this series include master copies of materials in paper, audio-visual, PowerPoint or other electronic software, including lesson plans, training materials, handouts, presentations, blank quiz and testing materials developed to provide LE officer tactical training. The Warden Tactical Training Officer may provide training at the Academy located at Ft. McCoy or at other designated sites.			
	RETENTION: EVENT (Course update) + 8 years and State Historical Society			
<u>00313A00.</u>	<u>LE OFFICER RE-CERTIFICATION/IN SERVICE TRAINING COURSE MATERIALS</u>	<u>EVT+8</u>	<u>DEST</u>	<u>Y</u>
	Specialized training materials and lesson plans document LE Officer training to meet Dept. of Justice law enforcement officer annual 24 hours of required training. Materials are generally maintained and training provided by Assistant LE Training Director for Wardens and the Chief Ranger for rangers. Records include master copies of handouts and materials in paper, audio-visual, PowerPoint or other electronic software, and master quiz and testing materials.			
	RETENTION: EVENT (Course update) + 8 years and destroy			
<u>00313B00.</u>	<u>ENVIRONMENTAL TRAINING COURSE MATERIALS</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
	Records series covers additional warden training materials that may be developed specifically for environmental enforcement activities. Includes master copies of materials in paper, audio-visual, PowerPoint or other electronic software, and master quiz and testing materials.			
	RETENTION: EVENT (Course update) + 5 years and transfer to WHS			
<u>00313C00.</u>	<u>RANGER CERTIFICATION TRAINING: COURSE MATERIAL, EXAMS, ROSTERS</u>	<u>EVT+8</u>	<u>SHSW</u>	<u>Y</u>
	Record series covers master copies of materials in paper, audio-visual, PowerPoint or other electronic software, including lesson plans, training materials, handouts, presentations, master quiz and testing materials.			
	RETENTION: EVENT (Course update) + 8 years and transfer to WHS			
<u>00314000.</u>	<u>TRAINING: EXAMS, ROSTERS, AND SCORE SHEETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	Records series covers filled in training rosters, written exams and score sheets used to test Warden skills and knowledge, including recruit, tactical, conservation re-certification/In-service, environmental training, etc. Pass/fail data is entered into the LE Officer Skills Manager Data application. After data entry and verification, exams, rosters and score sheets may be destroyed.			
	Note: Paper can be destroyed confidentially when recorded electronically and QC checked.			
	EVT = destroy after entered and QC checked			
<u>00315000.</u>	<u>LE OFFICER RECRUIT TRAINING CASE FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
	Law enforcement recruit training materials document required law enforcement training and refresher courses, firearms training, and related records document that wardens and officers meet mandated standards for their enforcement positions. Also includes daily observation reports, Academy exams and research papers, FTO reports and final performance evaluations.			
	Retention: EVT+2 years and destroy confidential; EVT = employee termination or probation ends whichever occurs first			
<u>00316000.</u>	<u>LE (WARDEN) INTERNSHIP CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	The Department regularly has UW-Stevens Point interns, funded through a grant program and assigned to work for the Department while in college. Other colleges may offer class credits to students who intern with the Department. The Department supervises and mentors interns and assesses their interest in careers in natural resources law enforcement. This records series contains case files for each intern, including hiring, job performance and evaluation reports.			
	EVT + 5 yrs = Termination of internship; destroy confidential			
<u>00317000.</u>	<u>DEARS (DIVISION ENFORCEMENT ACTIVITY REPORTING) SYSTEM</u>	<u>CR+6</u>	<u>DEST</u>	<u>N</u>
	Electronic data log of time reporting, expense accounts, vehicle logs. This system documents enforcement activities and replaces warden diaries. Payroll data is transferred to PALS and to DOA Payroll system.			
	RETENTION: EVENT (Creation) + 6 years and destroy			
<u>00318000.</u>	<u>RANGER FIREARMS INSPECTION RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	Records series includes firearms inspection forms created by Department Armorsers to track each officer's firearm service history. Each officer's firearm must be inspected and serviced once per calendar year.			

RETENTION: EVENT (Employee terminates) + 5 years and destroy

<u>00353000.</u>	<u>ADMINISTRATIVE RULE LOG</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
<p>Records series is a log maintained by the Bureau of Legal Services for reference and administrative purposes. The log is used to assign board order numbers to rulemaking documents that are brought before the NRB for approval. The log identifies the specific DNR program assigned to the board order number, the Wis. Admin. Code NR chapters affected by the rulemaking, and the year of assignment. The log is continuously updated and dates back to 1933 to include rules from the former Conservation Department.</p>				

RETENTION: EVENT (End of calendar year for last entry) and transfer to WHS

<u>00354000.</u>	<u>ADMINISTRATIVE RULES STATUS TRACKING - UNITS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
<p>Records in this series are generated by DNR divisions, bureaus, sections, or units engaged in rulemaking to monitor and track the development of their rules. The Bureau of Legal Services relies on these final records for research purposes to understand the previous rulemaking that occurred in the same Wis. Admin. Code NR chapter or in a related subject. The data in this series is critical to identify that the DNR adhered to all statutory deadlines. Data in this series includes, but is not limited to, the following:</p> <ul style="list-style-type: none"> • Rule reference number and program citation • Staff person with lead rule responsibilities • Related statutory references • Key approval steps and dates 				

RETENTION: EVENT (Date of final decision) +10 years and destroy confidential

<u>00384000.</u>	<u>PUBLIC WATER SYSTEMS (PWS) PLANS AND SPECIFICATIONS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
<p>Records in this series include public water systems plans and specifications submitted to the Department for plan review for construction of public water systems and wellhead protection plans. Also includes sewer extensions and water main extensions plus sewage and water treatment plant plans and specifications. Plans are microfilmed for permanent preservation.</p> <p>PWS Plans and Specifications - Paper (formerly #384A). Paper records are received, microfilmed, verified and held for 90 days then destroyed confidentially.</p> <p>Permanent Justification: DNR has ongoing research need for these records. Public water supply infrastructure can last 100+ years. It is important to retain construction plans and specifications for future reference.</p>				

RETENTION: Permanent

<u>00411000.</u>	<u>COMMUNITY ASSISTANCE SUMMARY HISTORY DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
<p>Records in this series include continuous electronic database records, currently the Community Assistance Oracle System (CAOS), for the community assistance grant program. Records in this series include summary information to identify each grant and for each grant program in the bureau. It provides summary historical data to track key actions including grant, grantees, funds approved, funds expended, project type, and grant location tracking data with long-term value. The current database is updated regularly.</p> <p>Data collected in CAOS comes from an actual grant file or from Finance (encumbrances, payments, and other WiSMART data) which are all covered under by other RDAs within this schedule or in the General Schedule for Fiscal and Accounting Related Records.</p> <p>Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf</p>				

Permanent retention is required for continued administrative reference purposes and to respond to requests for information. The data provides summary information and documentation of Department actions for each grant project. Data has long-term value for management purposes, and summary data in this series will be migrated forward as systems change.

RETENTION: Permanent

<u>00414000.</u>	<u>AD HOC COMPUTER-GENERATED REPORTS AND QUERY RESULTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>Series includes Ad hoc reports generated as needed for particular grant specialist or in response to an informational request.</p>				

RETENTION: EVENT (Not needed) and destroy

<u>00416000.</u>	<u>DATABASE AND DATA ENTRY OPERATIONAL PROCEDURES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
<p>Records in this series cover instructions and procedures for accessing the database, entering and processing data, querying the database and generating various types of reports. Procedures may be updated as necessary. The bureau maintains complete operational instructions to enter and retrieve data.</p>				

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded or updated) + 2 years and destroy

<u>00417000.</u>	<u>OTHER ELECTRONIC FILES - WORKING FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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This series covers many mixed types of electronic files (Spreadsheets, small applications) that grant specialists create to track their work. May include file tracking information and information duplicated in Database Summary History File. Key data must be in CAOS or equivalent Database Summary History File before working records may be destroyed.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Final grant payment) and destroy

<u>00418000.</u>	<u>ACQUISITION PROJECT GRANT HISTORICAL CASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Records series includes any type of grant project that entails grantee acquisition of lands. These grants are subject to continued monitoring, Department inspections and approvals in case of any alterations, sale or lease possibilities or other changes to the land use. This series includes case files that document the terms and conditions of the grant, including grant applications and all attachments, agreements, amendments, maps, project plans, and final reports.

Permanent retention is to insure that the lands are being used for the purposes intended. These projects have the longest-term impact on the land and require the longest periods of retention to document appropriate use of grant funds and the public interest.

RETENTION: Permanent

<u>00420000.</u>	<u>DEVELOPMENT PROJECT HISTORICAL GRANT CASE FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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This series includes records for Well Compensation and Well Abandonment grant; Well Compensations grants were previously covered under 370/00419. Development Project Records includes grant project case files for all grants that entail development projects and includes sufficient documentation for Department staff to monitor the project throughout its "useful life" as specified in the terms and conditions of the grant.

This series includes case files that document the terms and conditions of the grant, including grant applications and all attachments, agreements, amendments, project plans, and final reports.

RETENTION: EVENT (Close) + 20 years and destroy

<u>00421000.</u>	<u>NONPOINT SOURCE HISTORICAL GRANT CASE FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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Record series covers grants authorized under s. 281.65 and 291.66, Wis. Stats., and NR 120, Wis. Adm. Code, to meet nonpoint source water pollution abatement needs identified in areawide water quality management plans, for cost-sharing for management practices and capital improvements, easements and related projects. Cases cover Priority Watershed, Targeted Runoff Management, Urban Nonpoint Source and Stormwater projects. Project case files document the terms and conditions of the grant, including grant applications and all attachments, agreements, amendments, project plans, and final reports.

RETENTION: EVENT (Close) + 20 years and destroy

<u>00422000.</u>	<u>MAINTENANCE PROJECT HISTORICAL GRANT CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Records series covers all grant projects that do not entail either acquisition of land or development projects. Maintenance project records include all grant materials to document the terms and conditions of the grant, including grant applications and all attachments, agreements, amendments, project plans, and final reports.

RETENTION: EVENT (Close) + 6 years and destroy

<u>00423000.</u>	<u>BUSINESS GRANT PROJECT CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Records series includes grant project case files for grants issued to businesses for environmental purposes. Includes Dry Cleaning and Stage 2 Vapor Recovery grants. Records in this series document the grant application, terms and conditions of the grant agreement and completion of funded projects.

RETENTION: EVENT (Close) + 6 years and destroy

<u>00425000.</u>	<u>COMMUNITY ASSISTANCE PROGRAM INFORMATION MATERIALS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Records series includes informational materials developed by the bureau to use for publicizing grant program. Series covers grant publications, fact sheets, notices, pamphlets, user guides and Web pages when Web pages do not otherwise duplicate information available in another format.

RETENTION: EVENT (Superseded) + 3 years and destroy

00426000.	COMMUNITY ASSISTANCE PROGRAM REPORTS AND GUIDANCE DOCUMENTS	EVT+10	SHSW	N
Records in this series document the policies of the Community Assistance grant programs. Includes issue papers, strategic plans, significant correspondence and e-mails interpreting or formulating guidance for the program. Also includes significant reports and summary information about particular grants or community assistance grant programs generally, such as funding lists, allocation plans, reports to governing bodies.				

RETENTION: EVENT (Closed) + 10 years and transfer to WHS

00427000.	MUNICIPAL DAMS HISTORICAL GRANT CASE FILES	P	PERM	N
Records series covers grants authorized to provide a cost-sharing opportunity for eligible engineering and construction costs for dam maintenance, repair, modification, or abandonment and removal. Records in this series include case files that document the terms and conditions of the grant, including grant applications and all attachments, agreements, amendments, project plans and final reports.				

Permanent retention is required for continued administrative reference purposes and to respond to requests for information. The data provides summary information and documentation of Department actions for each grant project. Data has long-term value for management purposes, and summary data in this series will be migrated forward as systems change.

RETENTION: Permanent

00501000.	NATURAL RESOURCES RECREATION COMMUNICATIONS & PUBLIC INFORMATION	EVT+2	DEST	N
Records series covers informational materials intended to publicize all types of recreational programs and initiatives that the Department conducts or supports and/or to promote awareness of interest in particular recreational topics. Examples: camping in state parks, ice fishing, jet skis, boating and other recreational safety training available, snowmobile trails locations and conditions, grouse season dates, locations of public hunting lands, etc. Materials content is not sensitive, confidential or controversial. Information may be broadly distributed to the general public or to groups with common interests in a particular topic: anglers, sportsmen, campers, hikers. Examples: - Notices of dates, times and locations for upcoming recreational events, clinics, workshops, seminars. - Tips and techniques; expert advice, experience and personal observations; how-to instructions; useful information. - Frequently asked questions and responses - Links to additional resources, technical references, and additional guidance.				

Records include all media, including electronic records containing the content described in this RDA:

- Brochures, pamphlets, fact sheets and flyers - paper
- E-mail messages distributed to notify individuals or lists of topics.
- Web pages used to provide public information and education.
- Content generated by web logs and other social networking media applications (wikis, Facebook, Twitter, etc.) for public awareness purposes. Includes content generated by DNR personnel and external sources dealing with particular, defined content.

RETENTION: EVENT (Date distributed, posted or issued) + 2 years and destroy, provided closed (event occurred, information superseded, or content no longer relevant)

00503000.	ENVIRONMENTAL EDUCATION PROJECT CASE FILES	EVT+3	SHSW	Y
The DNR oversees and manages all types of environmental education projects, including the following topics: - Project Wild - Environmental Education - Project Learning Tree - Environmental Education - Project Wet - Environmental Education - Air Defenders - Air Education - Easy Breathers - Air Education - XRT - Air Education - Green & Healthy Schools - Recycle - Recycling Meeting minutes, publications, agreements, original artwork of publications on CD - recycle - Radio spots on CDs for recycling campaigns - Recycle - "Eek! Environmental education for kids" - Early Childhood Education - Significant correspondence and communications with children and schoolteachers regarding environmental education projects.				

Series covers all project case file final records used to plan, develop and implement each environmental education programs for Wisconsin, such as program notices, flyers, booklets, brochures, web pages, AV materials, etc. Records need to be maintained until updated or discontinued.

RETENTION: EVENT (Date superseded, or project discontinued) + 3 years and transfer to WHS

00540000.	ALIS SUMMARY HISTORY DATA	P	PERM	Y
Records in this series include continuous electronic data for the Automated Licensing Information System (ALIS). Electronic records in this series provide historical information on hunting, fishing and recreational license sales authorized under Ch. 29, Wis. Stats., and NR 10, Wis. Adm. Code data is needed to generate licensing sales statistics, analyze trends, and track participation in State hunting,				

fishing and other recreational opportunities. Annual and seasonal summary data to be retained in electronic format over time includes the following:

- * Quantities of licenses sold by type per year or season and by sales location.
- * Statistics on sales methods and transaction type, e.g., Internet, ALIS agent sale, service center or telephone
- * Total fee amounts collected for each type of license per year or season.
- * Customer demographic data such as gender, age, region, etc.
- * Data on voided licenses or licenses denied.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

Permanent Justification: In the DNR is required for the Department to monitor license sales, administer programs and plan for the future. The department is responsible for managing licensing data and statistics, tracking activities over time and analyzing trends. Data is used for licensing program administration, to document workload, target staff needs, report to constituents and support regulator initiatives related to customer service.

RETENTION: Permanent

<u>00540A00.</u>	<u>ALIS CUSTOMER MAINTENANCE DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include electronic data is ALIS. Data includes customer identifiers, as well as detailed sales transaction data, license type, and effective dates. The database also includes voided transactions. Sales transactions are reconciled with the Bureau of Finance and audited annually by the LAB. Data is also needed for license administration and enforcement purposes.
 NOTE: Customer data may be updated or superseded regularly during the licensing season.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Approval inactive - terminated or not renewed) + 10 years and delete. The most current customer data remains in the active online database until the customer becomes inactive (license is terminated or not renewed). In addition, the contractors shall archive and maintain customer end of season data for 10 previous years.

<u>00541000.</u>	<u>ANNUAL AND SEASONAL ALIS REPORTS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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Annual and seasonal summary reports of the status of all records in the database, generated for reporting purposes to provide snapshots in time of data in the database. Regular end of season or end of license year reports generated includes the following.

- * Total number of licenses sold by type, by county, by gender, by age
- * Deer Season Summary Report
- * Special Deer Hunt reports

Reports are provided to the Secretary, Natural Resources Board, the legislature, media and the public.

RETENTION: EVENT (Creation) + 10 years and destroy

<u>00543000.</u>	<u>ACT 88 (1999) CUSTOMER FILE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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As required by s. 23.45, Wis. Stats., the Department shall not share personally identifiable information of customers who indicate that they do not want their information provided on lists of 10 or more. To comply with this requirement, the Department identifies Licensing and Registration customers who choose to "opt-out" of being included on lists that the Department provides upon request. The Department creates a test file derived from ACSBS customers, but modifies to exclude customers who do not wish to have their personal data shared. Data in this file is used to generate customized responses to informational requests and provide it to requesters.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded by updated data) and destroy

<u>00544000.</u>	<u>CHAPTER 29 CUSTOMER DATASET - CONFIDENTIAL</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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This electronic dataset contains ACSBS customer data. Pursuant to ss. 29.024(2g) and (2r) the Department shall require an applicant who (a) is an individual to provide their SSN or (b) is not an individual to provide the applicant's federal employer identification number. The DNR collects, maintains and provides this data only to the Departments of Children and Families, and Revenue for fraud and abuse matching purposes, under s. 29.024(2g) and 29.024(2r), Wis. Stats. Data is shared through Electronic Data Interchange (EDI) and DCF and DOR monthly or more frequently. No reports are printed out, and data is maintained confidentially.

Electronic Records Note: In order to safeguard the information in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded) and destroy

<u>00545000.</u>	<u>ALIS OPERATIONS & PROCEDURES TRACKING</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Records in this series document operations and procedures that Customer and Outreach Services staff follow to issue fish and wildlife licenses, collect and submit fees, monitor production, track workload and improve processes.

Records in this series also include correspondence and direction from other DNR Bureaus, e.g., Legal Services, Wildlife and Law Enforcement and other regulatory interests, regarding fish and wildlife licensing forms, fees and processing requirements. This series includes records in paper or electronic format, including Access databases, Excel spreadsheets, E-mail messages, or MS Word documents, and include records generated in service centers or central office. Bureau Section Chiefs maintain official copies of records for ongoing reference and administrative purposes after the procedures are superseded or obsolete.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded or replaced) + 5 years and destroy

<u>00546000.</u>	<u>ACSBS CUSTOMER NUMBERS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series covers any paper forms submitted by first-time customers for fish and wildlife approvals to obtain customer numbers. These forms request Social Security Number of customer, as required under federal and state law for fraud and abuse matching purposes. Under s. 29.04(2g), Wis. Stats., for hunting, fishing and recreational licenses and permits, the customer's SSN is considered confidential and may be shared only with the Department of Children and Families. Information in this series may also include demographic and hunter education information about the customer. Data is entered into the ACSBS customer database by DNR staff, and forms are destroyed by shredding on the premises or through a commercial shredding contractor.

RETENTION: EVENT (Data entry into ALIS) and destroy confidential

<u>00547000.</u>	<u>HUNTER EDUCATION DOCUMENTATION</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Under s. 29.593, Wis. Stats., hunters are required to document successful completion of hunter education requirements and to provide updated hunter education information to the Department. Hunters submit completed forms to DNR Agents or service centers.

RETENTION: EVENT (Data entered into ACSBS) and destroy
 Closed – there are no longer any paper applications.

RETENTION: EVENT (Creation/scanned) + 5 years and destroy

<u>00551000.</u>	<u>DISABLED HUNTING PERMIT APPLICATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Disabled Hunting Permit Applications: Series includes Class A, Class B, Class C, Class D, crossbow and trolling specialized hunting applications for people with disabilities, as authorized in Wis. Statutes § 29.053(3). Records include proof of disability and application submitted. Licenses are issued that authorize individuals and their sponsors to participate in hunting activities specifically authorized for disabled persons.

Confidential Records: The DNR collects individual Social Security Numbers (SSN) from customers as required by Wis. Statutes ch. 29, and Wis. Admin. Code, ch. Nr 8. The SSN is confidential and may only be provided to the Department of Children and Families for matching purposes. The DNR takes special precautions to limit document containing the customer SSN and collect the SSN only electronically when possible so that DNR agents, employees and other individuals do not have access.

Paper applications are received by DNR, scanned into SharePoint, tag items completed (first name, last name, customer ID, date of birth and transaction number); approved/denied; stored in SharePoint archive. Paper copy will be destroyed confidentially after quality control and transaction number); approved/denied; stored in SharePoint archive. Paper copy will be destroyed confidentially after quality control check and the electronic version will be the official copy (per Wis. Statutes § 16.61(5)).

RETENTION: EVENT (Close of hunt) + 10 years and destroy confidential

<u>00553000.</u>	<u>ALIS LICENSING AGENT AGREEMENTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records series covers agreements with DNR agents, private businesses that sell hunting licenses throughout the State. Records include contract agreements with each licensing agent, which is negotiated per s. 29, Wis. Stats. and NR 8, Wis. Adm. Code. Wis. Stats. Agreements are in effect from date of issuance until revised or terminated by either party.

RETENTION: EVENT (Agreement termination or contract superseded) + 10 years and destroy

<u>00560000.</u>	<u>COMMERCIAL FARM & OCCUPATIONAL LICENSES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include all approvals (licenses) that the Bureau of Customer & Outreach Services issues under Chapter 29, Wis. Stats. For commercial purposes, including the following:

- * Farm Licenses:
- Captive Wild Animal Farm

- Wild Fur Farm
- White-Tailed Deer Farm fencing
- Hound Dog Training and Trialing

- *Commercial:
- Guides
 - Taxidermists
 - Fur Dealers
 - Bait Dealers Mississippi River Commercial Fishing
 - Clam Dealers
 - Wholesale Fish Dealers
 - Sport Trolling Guides
 - Ginseng Dealers
 - Wild Rice Dealers
 - Bird Hunting Preserve

Licenses are issued for periods of one or two years and must be renewed, including updated licensee information. All licenses in this series are subject to review by the bureau of law enforcement for investigative purposes and by the bureau of wildlife management. License records are considered closed if the license expires, is canceled, revoked, suspended, or refused. For all farm licensees, the records are retrieved and maintained if the licensee is reinstated within the retention period.

RETENTION: EVENT (License terminated by expiration, cancellation or refusal) + 6 years and destroy

<u>00561000.</u>	<u>COMMERCIAL FARM & OCCUPATIONAL TRACKING RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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This records series covers records generated to track commercial farm and occupational licenses and processes. Such electronic files are created for administrative purposes, to provide a ready reference of licensees, serve as an index of currently approved licensees, and also track expired, canceled or refused licenses for record retrieval purposes in case of reinstatement. Tracking records in this series include paper lists and indexes, electronic tables and spreadsheets and stand-alone databases. Such tracking records may be generated in central Madison Customer & Outreach Services Bureau or in service centers that receive or generate licenses directly. Records are continuously updated as licenses are issued, renewed and terminated. Terminated records may remain, flagged terminated, in the database, or archived to a subset record of terminated licensees. Retention is based on date of termination

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded with updated information) + 4 years and destroy

<u>00562000.</u>	<u>COMMERCIAL FARM & OCCUPATIONAL LICENSE OPERATIONS AND PROCE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records in this series cover operational and procedures materials and correspondence related to commercial and occupational licenses, including license issuance methods and procedures, methods to collect and submit fees and standard procedures to follow to document transactions. Records in this series may also include correspondence between the Bureau and other Department units and with others interested in commercial licensing forms, fees, operations and processing requirement. This records series includes records in paper or electronic format, including Access databases, Excel spreadsheets, E-mail messages, or MS Word documents, and includes records generated in service centers or central office. The official records are maintained by Bureau Section Chiefs and are needed for reference purposes for a period of time after the procedures are superseded or replaced with revised procedures.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded or replaced) + 5 years and destroy

<u>00570000.</u>	<u>VRS SUMMARY HISTORY</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Records in this series include continuous electronic database for the Boats, ATV, UTV and Snowmobile registration system. VRS documents sales transactions, controls vehicle registrations and tracks the vehicle, rather than the individual registrant (owner), through the course of its registered life. Electronic records in this series provide historical information on recreational vehicle and commercial dealer registration sales authorized under ss. 23, 30, and 350, Wis. Stats., and chs. NR 64, NR 5, and NR 6, Wis. Adm. Code. Date is needed to generate recreational vehicle registration statistics, analyze trends, and provide a historical track. Annual and seasonal summary data to be retained in electronic format over time includes the following:

- *Quantities of registrations sold by type per year.
- *Statistics on sales methods and transaction type, e.g., Internet, service center or telephone
- *Total fee amounts collected for each type of registration per year or season.
- *Customer demographic data such as gender, age, region, etc.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outline in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: Permanent. Retention in the DNR is required for the Department to monitor registration sales, administer programs and

plan for the future. The Department is responsible for managing data and statistics, tracking activities over time and analyzing trends. Data is used for program administration, to document workload, target staff needs, report to constituents and support regulatory initiative related to customer service.

<u>00570A00.</u>	<u>VRS VEHICLE REGISTRATION TRANSACTION DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records in this series covers detailed vehicle sales transaction data including vehicle make, model, vehicle identifiers, owner name and address, fee amounts paid and registration dates. Records series also includes rejected vehicle registration transactions entered into the VRS database and maintained in pending (inactive) status until the customer provides information needed or the retention period expires. DNR staff can access the VRS system, containing the vehicle's transaction history by applicant name, assigned vehicle registration number or serial number. The vehicle record becomes inactive when the registration is pending, or the registration expires. The records can be reactivated if a new transaction occurs. Sales transactions are reconciled with the Bureau of Finance and audited annually by the LAB. Data is also needed for program administration and enforcement purposes.

Note: System also contains electronic data from previous electronic system (Boat, ATV, Snowmobile aka BATS) that was migrated to VRS when VRS was implemented in 2007.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

The most current customer data remains in the active online database until the customer becomes inactive (registration expires, is terminated or is not renewed). VRS data is maintained and may be archived offline from end of registration + 10 years and delete.

RETENTION: EVENT (Registration expires or inactive) + 10 years and destroy

<u>00571000.</u>	<u>VRS SEASONAL REPORTS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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Records series covers seasonal reports of total vehicle registrations by type and by county and the Annual U.S. Coast Guard Report. Reports provide status of all registrations in the database at the end of the season or year. Reports are useful for reference purposes for managers.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 10 years and destroy

<u>00573000.</u>	<u>VRS OPERATIONS & PROCEDURES TRACKING</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Records in this series document operations and procedures that Customer and Outreach Services staff follow to approve vehicle registrations, track operations and transaction processes and monitor production workload for the section. Records include correspondence from others interested in vehicle registration forms, fees and processing requirements in paper or electronic format, including Access databases, Excel spreadsheets, e-mail messages, or MS Word documents, and includes records generated in service centers or central office. Bureau Section Chiefs maintain the official records. Records may be needed for reference purposes after obsolete.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded or obsolete) + 5 years and destroy

<u>00574000.</u>	<u>RECREATIONAL VEHICLE REGISTRATION APPLICATIONS & TRANSACTIONS</u>	<u>CR+0/3</u>	<u>DEST</u>	<u>Y</u>
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Record series includes paper applications and other VRS source documents for boat, snowmobile and ATV registration transactions. Series covers individual, business and commercial dealer approved and rejected applications received, as well as title and lien records verifying vehicle ownership and notification of owners moved out of state (MOS). Documents including original registration forms and updates or changes are imaged and kept by the DNR in case reimaging is required after the DNR quality control process. The imaged version is the official copy of record of registration transactions.

RETENTION: EVENT (Creation) + 3 months and destroy provided imaged

<u>00574A00.</u>	<u>BOAT, SNOWMOBILE & ATV APPLICATIONS/REGISTRATIONS - IMAGED</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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The images of Boat, Snowmobile and ATV registrations serve as the official record of the registration transaction, including the original applications as well as subsequent activities such as transfer of ownership. Applications and documentation are imaged and stored by transaction number to be accessed via a transaction number that is located in the vehicle file on the VRS system. Chapter 30, specifically 30.537 states records be kept for 5 years. Change from 25 to 5 years.

Note: From 1972-June 2006 we were microfilming these records. In July 2006 we started imaging these documents.

RETENTION: EVENT (Creation) + 5 years and destroy

<u>00574C00.</u>	<u>VEHICLE REGISTRATION RENEWAL NOTIFICATION AND PAYMENT - PAPER</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series consists of renewal notifications submitted with payment to the state bank provider, when an applicant renews via the lock box processing center rather than through the DNR VRS system or via electronic transaction (RDA # 574). Notifications are generated from the VRS system to renew boat, snow and ATV registrations.

RETENTION: EVENT (Imaged and quality assured) and destroy

<u>00580000.</u>	<u>KILL/HARVEST REGISTRATION</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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Records series includes registration stubs, tags, reporting documents in any format used to report individual wildlife hunting kills for regular seasons and special hunts. Harvest documents provide source data and verification data for Access and Excel databases and spreadsheets. Records include but are not limited to the following species:

- *Deer (located in regional offices)
- *Bear (located in regional offices)
- *Turkey (located in regional offices)
- *Canada geese (located in Central office).

RETENTION: EVENT (Creation) + 3 years and destroy

<u>00581000.</u>	<u>KILL/HARVEST REGISTRATION SUMMARY DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Records in electronic databases (currently Access or Excel) used to record kill/harvest data, includes but is not limited to:

- * Early September Canada Goose Harvest Access database located in Central Office
- * Exterior Zone Canada Goose Harvest Access database located in Central Office
- * Deer Harvest Database located at Wildlife Research Center, Madison
- * Bear Harvest Database located at Wildlife Research Center, Madison
- * Turkey Harvest Database located at Wildlife Research Center, Madison.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: Permanent retention in the DNR is required for the Department to continue to meet its regulatory and public interest obligations. The Department is responsible for managing harvest data and statistics, tracking kill/harvest over time and analyzing trends. Data is used for wildlife research, program administration and to support statutory and regulatory initiatives for managing wildlife in the State.

<u>00583000.</u>	<u>REGISTRATION STATION AGREEMENTS AND CONTRACTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records series cover applications, both approved and rejected, and agreements for registration stations to be authorized agents of the Dept. for registering wildlife killed/harvested under s. 23.09(2)(h). Records include application submitted to the department and signed agreements.

Note: Payment requests and other financial materials are forwarded to DNR Bureau of Finance and maintained per general schedule of Fiscal and Accounting records. Wildlife copies are not needed in this file.

RETENTION: EVENT (Close of contract or rejection of application) + 10 years and destroy

<u>00584000.</u>	<u>WILDLIFE POPULATION SURVEY DATA FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Records in this series cover electronic data providing historical information on Wisconsin hunting experience, by particular hunt or particular hunting zone, as well as type of wildlife hunted, date of hunt, etc. Data files consolidate wildlife survey information including deer, bear, goose, waterfowl breeding and other wildlife species. Data is gathered from harvest surveys, registered numbers of animals harvested, from field observations/surveys, bird banding records, and other sources. Data tracks hunting trends, numbers of hunters, demographics of hunters and overall success of the hunting experience. Electronic data currently consists primarily of SAS datasets. Annual data is to be maintained permanently and migrated to new hardware and software as necessary.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: Permanent retention of data is needed for the Department to perform wildlife management functions, administer hunting, track trends and monitor effectiveness of harvesting practices over time.

<u>00585000.</u>	<u>WILDLIFE POPULATION/HARVEST SURVEYS AND DOCUMENTS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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Records series covers returned Population/Harvest survey forms, and other paper documents or survey instruments that provide source data for analysis and reporting purposes.

NOTE: Wildlife also receives hunting and hunter data from the Automated Licensing Information System (ALIS) through Electronic Data Interchange (EDI). All paper and electronic data are entered into SAS electronic datasets. After information is entered into the electronic database, these records have no ongoing value to the program.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 1 year and destroy

<u>00588000.</u>	<u>LEARN TO HUNT SPECIAL HUNT APPLICATIONS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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Records in this series includes the application which also serves as the permit and all other materials used to implement the Learn to Hunt program throughout the state, per s. 29.29(1), Wis. Stats. Records include the general Application and Authorization to conduct a Learn to Hunt program and specific hunting applications, e.g., Spring Loew Lake unit, Learn to Hunt Turkey. Official copies are forwarded to Wildlife Central Office, Madison, after the hunt is concluded.

RETENTION: EVENT (Creation) + 5 years and destroy

<u>00589000.</u>	<u>LEARN TO HUNT SPECIAL HUNT PROGRAM SUMMARY DATA AND REPORTS</u>	<u>CR+20</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include paper reports and electronic data containing summary information and statistics on Learn to Hunt programs. Data is currently in paper format. Includes learn to hunt location, dates, species and participant satisfaction.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 20 years and destroy

<u>00590000.</u>	<u>TRAPPER EDUCATION APPLICATIONS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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Trapper education certificates issued by the Dept. to teach trapping under s. 29.597(1)(a), Wis. Stats. Applications are submitted to Central office and certificates are issued from DNR Wildlife Research. Records in this series include applications for:

- *Cooperative Trapper Education Program Graduate Certificate
- * Cooperative Trapper Education Certified Trapping Instructor Certificate
- * Cooperative Trapper Education Certified Trapping Instructor MOU
- *Cooperative Trapper Education Program Instructor Certification Application
- *Wisconsin Cooperative Trapper Education Program - Student Registration Card

RETENTION: EVENT (Creation) + 5 years and destroy

<u>00591000.</u>	<u>TRAPPER EDUCATION PROGRAM GRADUATE DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records - currently stored electronically in Microsoft Access database located in Madison Central office with data on certified trapper graduates.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Certification end) + 10 years and destroy

<u>00592000.</u>	<u>SCIENTIFIC COLLECTOR SPECIMEN LOAN LETTER</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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The owner of a particular wildlife specimen loans it to the Department and authorizes the Department to use it for educational purposes. Retention is needed for as long as the specimen is in Department custody, to document Department authorization and terms and conditions for use of the specimen from the owner. Loan periods may be for long periods of time, including permanent.

RETENTION: EVENT (End of loan period) + 5 years and destroy

<u>00593000.</u>	<u>SCIENTIFIC COLLECTORS PERMITS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records series covers permits issued for scientific collection of wildlife for research purposes, per s. 29.614, Wis. Stats. Covers application, permit specifying permitted collections actions, time period for data collection and other terms and conditions of the

collection. Regional and local wildlife managers issue collection permits throughout the state. There is no central location for all permits issued.

RETENTION: EVENT (Permit end date) + 5 years and destroy

<u>00594000.</u>	<u>WILDLIFE STOCKING PERMITS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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Records series covers applications and renewal applications for stocking grey squirrels, turkeys, and other wildlife (not including pheasant) on private lands in the State, per s. 23.09(2)(h), Wis Stats. Series covers application and renewal forms, relevant correspondence and approval documentation. Game farms may have a long-term impact on animal habitat and wildlife species.

RETENTION: EVENT (Creation) + 5 years and destroy

<u>00595000.</u>	<u>PHEASANT STOCKING APPLICATIONS AND PERMITS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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This records series covers pheasant stocking applications and permits, authorized under s. 169.04(4)(b)1, Wis. Stats., for hunting and dog training purposes. Series covers stocking applications for pheasants only submitted to the Department, both approved and denied. This series includes but is not limited to the records associated with the Day-Old Chick Program.

RETENTION: EVENT (Creation) + 5 years and destroy

<u>00596000.</u>	<u>PHEASANT STOCKING PERMIT FOR PRIVATE INDIVIDUALS, STATISTICAL D/</u>	<u>CR+100</u>	<u>SHSW</u>	<u>Y</u>
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This records series covers electronic pheasant stocking data, to track the stocking applications and permits issued by the Department for private individuals to stock pheasants for training, shooting or stocking on private properties.

Data includes permittee, stocking location, species and dates information from the Wildlife stocking application. Data is used to document stocking activities and track permittees and activities over time and analyze trends. Data is maintained for wildlife management purposes and to determine whether or not stocking has a detrimental effect on animal health and safety.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 100 years and transfer to WHS: DNR has ongoing requests for these records. These records provide historical background information regarding the agency's procedures and evolution. The original records format may be digitized and then discard.

<u>00597000.</u>	<u>STATE GAME FARM PHEASANT STOCKING ON STATE PROPERTY, STATISTI</u>	<u>CR+100</u>	<u>SHSW</u>	<u>N</u>
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This records series covers electronic pheasant stocking data by the Department, including, but not limited to stocking location, species and dates information that documents stocking activities. Data is maintained for wildlife management purposes and to determine whether or not stocking has a detrimental effect on animal health and safety.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 100 years and transfer to WHS. DNR has ongoing requests for these records. These records provide historical background information regarding the agency's procedures and evolution. The original record format may be digitized and then discard.

<u>00598000.</u>	<u>PHEASANT STOCKING DOCUMENTS AND GAME FARM BROOD DOCUMENTS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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Records in this series cover paper game farm production/husbandry forms, reports, and observations for pheasants stocked from the State Game Farm at Poynette or provided to cooperators in the Day-old Chick program.

Pheasant Stocking Documentation: This record series also covers pheasant stocking on Public Hunting Grounds. Series covers all Pheasant stocking by the Department on public lands.

The Department raises pheasants and monitors breeding and health of the birds. Documents in this series provide source documents to track captive game farm pheasants. Includes, but is not limited to the Day-old Chick Agreement, Day-old Chick Rearing Report, Weekly Report of Game Birds, Annual Hatch and Chick Distribution, Breeder flock selection records, Breeder flock daily mortality and production records, Breeder flock weekly egg production/bird inventory, Breeder flock vaccination records, Annual hatching and chick distribution record, Brooder house daily mortality records, and Weekly Breeder Flock Production/Inventory.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 10 years and destroy

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00599000.</u>	<u>PHEASANT STOCKING PROGRAM BROOD DATA</u>	<u>CR+100</u>	<u>SHSW</u>	<u>N</u>
	This records series covers Brood data for pheasants stocked from Poynette Game Farm including, but not limited to the annual Public Hunting grounds Stocking report and the Day-old Chick Rearing Report.			
	Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf			
	RETENTION: EVENT (Creation) + 100 years and transfer to WHS. DNR has ongoing requests for these records. These records provide historical background information regarding the agency's procedures and evolution. The original record format may be digitized and then discard.			
<u>00601000.</u>	<u>DOG TRAINING PERMITS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
	Records in this series include applications and permits and all other materials used to permit the use of bids for dog training purposes pursuant to s. 29.321 Wis. Stats.			
	RETENTION: EVENT (Permit closed and data migrated into database) + 1 year and destroy			
<u>00602000.</u>	<u>DOG TRAINING PERMIT DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	Records in electronic database (Microsoft Access) used to record issued permits and is located in Central Office.			
	Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf			
	RETENTION: EVENT (Permit close) + 10 years and destroy			
<u>00603000.</u>	<u>WILDLIFE HEALTH PROGRAM</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
	Records in this series include paper reports, observation materials, and test results used to monitor the health of wildlife in Wisconsin. Records include but are not limited to wildlife necropsy reports, laboratory and toxicology results, deer herd monitoring, and documentation specific to disease of special concern affecting Wisconsin's wildlife such as Chronic Wasting Disease and West Nile Virus.			
	Retention: This records series provides important wildlife health and safety data that needs to be recorded and maintained over time. Specific information on reports may need to be referenced in the future.			
	RETENTION: EVENT (Creation) + 5 years and destroy provided key data entered into database			
<u>00604000.</u>	<u>WILDLIFE HEALTH PROGRAM DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	Records in electronic databases (Microsoft Access and Excel) record report data, observations and testing results of Wildlife Health monitoring activities in the State. Series includes but is not limited to data from wildlife necropsy reports, laboratory and toxicology results, deer herd monitoring, and documentation specific to disease of special concern affecting Wisconsin's wildlife such as Chronic Wasting Disease and West Nile Virus.			
	Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf			
	RETENTION: Permanent - justification this record series needs to be retained permanently to fulfill the Department's mandate to monitor health and safety of Wisconsin's wildlife, including potential impacts on other species.			
<u>00605000.</u>	<u>PUBLIC HUNTING GROUND MANAGEMENT PLANS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	Series covers management plans required for public hunting grounds in Wisconsin under s. 29.317, Wis. Stats. Documents include Prescribed burns records.			
	Bureau of Facilities and Lands maintains a master file of management plans for state-owned properties.			
	RETENTION: EVENT (Plan superseded or obsolete) + 5 years and destroy			
<u>00606000.</u>	<u>HABITAT MANAGEMENT STAMP PROJECTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	Records in this series cover DNR projects and activities to manage public and private wildlife habitat, funded from stamp revenues and may also be undertaken with partners, e.g., Ducks Unlimited. Project records include plans, budgets and cooperative agreements to maintain or develop habitat for the benefit of particular species on individual properties. Series also includes reports and relevant correspondence. Types of records include the following. Pheasant Stamp Summary, Turkey Stamp Summary, Waterfowl Stamp Summary, MARSH projects cooperative agreements. Projects may be amended, modified or renewed. Retention of records is based			

RDA #	RDA Title	Retention	Disposition	PII
	on final close of project. RETENTION: EVENT (Project completion) + 5 years and destroy			
<u>00607000.</u>	<u>HABITAT MANAGEMENT STAMP DATA</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
	Records in electronic databases (Microsoft Access and Excel) record stamp project data, status of projects, funding amounts, properties and species, partnership shares, dates. Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf RETENTION: EVENT (Project close) + 50 years and destroy			
<u>00608000.</u>	<u>WILDLIFE PROGRAM GIFTS AND DONATION CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	Records in this series document gifts and donations as authorized by s. 23.0992(o) to State-owned wildlife properties and wildlife programs from individuals and organizations, including the following: * Wildlife area donation donor correspondence and DNR acceptance letters targeted for Crex Meadows, Pershing Wildlife Area, Yellowstone Horse Trails, etc. * Wildlife species habitat program donation correspondence, e.g., for pheasant, turkey habitat maintenance programs. * Wetland and grassland program donation correspondence. Funds may be targeted for use in the future, and retention needs to be based on expenditure of donated funds. NOTE: Remittance documents and funds received records are forwarded to Bureau of Finance and maintained per the State Fiscal and Accounting General Records Schedule. RETENTION: EVENT (Expenditure of funds) + 6 years and destroy			
<u>00609000.</u>	<u>WILDLIFE PROGRAMS GIFTS AND DONATIONS DATA</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
	Records in electronic database (currently Microsoft Access) used to record gifts and donations to wildlife programs, including donor data, gift amounts, program targeted, any terms and conditions related to donations, properties, species, dates, etc. Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf RETENTION: EVENT (Project close) + 50 years and destroy			
<u>00610000.</u>	<u>WILDLIFE DAMAGE AND ABATEMENT CLAIMS CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	This records series covers claim documents submitted for wildlife damage and abatement efforts under s. 29.889(7), Wis. Stats. Includes copy of Request for Reimbursement WDACP, Reimbursement Request Worksheet, Wildlife Damage Claim forms and other materials needed to document Department claim payments. RETENTION: EVENT (Date of payment) + 5 years			
<u>00611000.</u>	<u>WILDLIFE DAMAGE AND ABATEMENT SHOOTING PERMIT APPLICATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	Records include Application and Permit to Shoot Deer Causing Damage, Authorization to Shoot Deer Causing Agricultural Damage, and other types of applications to authorize wildlife kills outside of normal hunting seasons. RETENTION: EVENT (Date issued) + 10 years and destroy			
<u>00612000.</u>	<u>REGISTERED FENCE CONTRACTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	Wildlife Damage and Abatement Registered Fence Contract Case Files: Records in this series cover applications and contracts for wildlife damage and abatement fences under s. 29.889(3)(c)(2). RETENTION: EVENT (Close of contract) + 5 years and destroy			
<u>00613000.</u>	<u>VENISON GOOSE DONATIONS AGREEMENTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	Records series covers cooperative agreements for hunters to take deer carcass to food processor to have processed venison donated to food pantries, as authorized under s. 29.89 Wis. Stats. Agreement files contain contracts, relevant donation correspondence and signatures of parties involved. Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the			

standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

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

<u>00614000.</u>	<u>PLANS OF ADMINISTRATION (POAS)</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>N</u>
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Agreements between the Department and counties for wildlife damage and abatement efforts in the counties. Plans define administration of WDACP in each county and include plan, agreements and related correspondence.

Bureau of Facilities and Lands maintains a master file of management plans for state-owned properties.

RETENTION: EVENT (Close of contract) + 5 years and transfer to State Historical Society of Wisconsin

<u>00615000.</u>	<u>WILDLIFE DAMAGE AND ABATEMENT SUMMARY DATA</u>	<u>EVT+50</u>	<u>DEST</u>	<u>N</u>
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Databases are located in Central Office and include but are not limited to Claims Database (Access), Fences Database (Access), Shooting Permits Database (Access), Donation Agreements (Access) and Plans of Administration (POAs). Data from paper applications and contracts is entered into the databases and used to monitor and determine approval of damage claims.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb.code.adm.adm012.pdf>

RETENTION: EVENT (Close of claim and migrated to updated systems as necessary) + 50 years and destroy

<u>00617000.</u>	<u>HUNTING - PUBLIC MEETINGS AND HEARINGS</u>	<u>CR+20</u>	<u>SHSW</u>	<u>Y</u>
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Records series covers information on DNR wildlife management, hunting, trapping, wildlife health, hunting lands and species management issues. Includes meeting and hearing announcements, agendas, registered attendees, written comments received, minutes, transcripts and reports. Examples:

- * Chronic Wasting Disease meetings
- * Deer 2000 meetings
- * Spring Fish and Wildlife Hearings
- * Citizen Advisory Committees on Hunting
- * Annual Herd Status Meetings
- * Deer Management Unit Goal and Boundary Reviews

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 20 years and transfer to State Historical Society

<u>00618000.</u>	<u>HUNTING SPONSORSHIP/PARTNERS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Records in this series cover Department involvement with hunting sponsors, organizations and partners, including joint sponsorship to print and distribute hunting information materials, e.g., Hunting Regulations booklets. Sponsors including but not limited to groups listed below, provide funds to support hunting education and information.

- * Conservation Congress
- * Wisconsin Trappers Association
- * Ducks Unlimited

The U.S. Fish and Wildlife Service (USFWS) is also a partner for the Harvest Information Program (HIP) electronic telephony method for hunters to provide waterfowl harvest data for tracking purposes.

RETENTION: EVENT (Agreement or contract superseded or obsolete) + 6 years and destroy

<u>00810000.</u>	<u>PATROL LOG & RANGER WORKING FILES</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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Records in this series cover the Patrol Log that each property and each park ranger and manager uses to record park activities, observations, warnings and citations given during each work shift. Logs itemize date/time and events in sequential order. The primary purpose of logs is to provide basic data for reporting purposes, on each property, to DNR managers and the NR Board.

Log files may include paper and electronic records that Park personnel develop and use as working files to tally Patrol log data throughout reporting periods in various formats. Data results are incorporated into Annual Reports. Logs also provide data for preparation of Case Activity reports related to enforcement actions. As needed, for investigations and legal actions, log data is part of the evidence for a case that may be taken to a hearing or to court.

Records in this series may include the many mixed types of files that parks staff create to help in the administration of law enforcement such as written warnings issued including those written to follow up courtesy notices, etc.

RETENTION: EVENT (Creation) + 2 years and destroy, provided Patrol Log Summary Data sent to Chief Ranger

<u>00811000.</u>	<u>CASE ACTIVITY, USE OF FORCE AND INVESTIGATIVE REPORTS, CITATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Records in this series may include copies of case activity reports, various types of citations, and violation dispositions that parks or other DNR properties may issue including:
 * NR Citations: official (white) copy is forwarded to the Bureau of Law Enforcement for data entry
 * Uniform Traffic citations - official copy goes to County District Attorney and/or court record (official white copy of violation disposition records are forwarded to the Bureau of LE)
 * Juvenile Alcohol Ticket - official copy goes to County District Attorney and/or court record (official white copy of violation disposition records are forwarded to the Bureau of LE)

This series also includes the citation control ledger record which is a paper log that each DNR property creates to capture summary data on each citation issued at the property. Ledger data includes date and time citation issued, names of persons and disposition of the citation. The ledger is a source document for data included in the 6-month and annual Summary of Law Enforcement Activity Reports for the Office of Justice Assistance, as well as an index to citations and cases. The ledger has reference value for law enforcement officers at the property.

RETENTION: EVENT (Date of citation/close of case) + 10 years and destroy

<u>00812000.</u>	<u>INDIVIDUAL PROPERTY PATROL LOG SUMMARY DATA</u>	<u>CR+20</u>	<u>DEST</u>	<u>N</u>
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Records in this series may include electronic methods developed to tally Patrol spreadsheets and other electronic methods that Parks personnel develop to tally Patrol log data throughout reporting periods and use as working files. Data results are incorporated into a summary data file and sent in to the Madison Central Parks office.

NOTE: Working files can be deleted when no longer needed

RETENTION: EVENT (Creation) + 20 years and destroy

<u>00813000.</u>	<u>STATEWIDE LAW ENFORCEMENT SUMMARY DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Records in this series may include the electronic database records developed to tally patrol log, citation information and other NRO enforcement data submitted from each park and managed property in the program to the Chief Ranger located in central office. Data is summarized in "Annual Summary of Law Enforcement Contacts" for management purposes. Database provides summary historical data to track Parks, Trails, and Forests enforcement statistics. The database is updated annually. Permanent retention is needed to track historical trends.

RETENTION: Permanent

<u>00814000.</u>	<u>LAW ENFORCEMENT PURSUIT REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Records in this series cover paper pursuit reports generated by parks, trails, and forests to be submitted to the Wisconsin Department of Transportation (DOT) per s. 85.07(8), Wis. Stats. DOT Pursuit Report and Case Activity Reports are generated and sent to Madison Chief Ranger for DOT submittal.

RETENTION: EVENT (Superseded by annual report) + 10 years and destroy

<u>00815000.</u>	<u>VISITOR AND RESOURCE PROTECTION SYSTEM DOCUMENTATION AND OP</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Records in this series document the electronic databases or paper files that are essential to the administration of the Visitor and Resource Protection Program. Records in this series may include but are not limited to: Officer TIME/ETIME Certification, equipment inventories, visitor complaints and Parks employee safety training.

RETENTION: EVENT (Employee terminates) + 3 years and destroy

<u>00816000.</u>	<u>VISITOR ACCIDENT REPORTS</u>	<u>EVT+6</u>	<u>TRANS OTHER</u>	<u>N</u>
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Records in this series may include all paper records involve with visitor accidents on state property. May include statements from emergency personnel and other law enforcement agencies. Records are sent from the property to the Chief Ranger in Madison. Reports involving fatalities will be routed through Legal Services to the Chief Ranger.

RETENTION: EVENT (Report) + 6 years and transfer to Chief Ranger

<u>00904000.</u>	<u>LAW ENFORCEMENT & 6 MONTH ACTIVITY REPORTS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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Under Wis. Stat. § 16.964(1)(g), all law enforcement agencies are required to provide annual summary and 6- month status reports of law enforcement activities to requesting law enforcement authorities. Law enforcement agencies are also required to file "Officers Assaulted Reports" with the FBI and Dept. of Justice. Records series covers these types of summary reports of law enforcement activities. Reports include such statistics as numbers of citations issued, types of violations, locations of violations and disposition of cases, etc. The Bureau of Law Enforcement develops separate reports to meet this requirement. Annual reports of statistics are also useful for DNR reference, planning and administration purposes.

RETENTION: EVENT (Creation) + 6 years and destroy confidential

<u>00905000.</u>	<u>LAW ENFORCEMENT CASE ACTIVITY REPORTS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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Under Wis. Stat. § 16.964(1)(g), all law enforcement agencies are required to provide annual summary and 6-month status reports of law enforcement activities to requesting law enforcement authorities. Law enforcement agencies are also required to file "Officers Assaulted Reports" with the FBI and Dept. of Justice. Records series covers these types of summary reports of law enforcement activities. Reports include such statistics as numbers of citations issued, types of violations, locations of violations and disposition of cases, etc. The Bureau of Law Enforcement develops separate reports to meet this requirement. Annual reports of statistics are also useful for DNR reference, planning and administration purposes.

RETENTION: EVENT (Creation) + 6 years and destroy confidential

<u>00906000.</u>	<u>INCIDENT REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Field wardens or other DNR law enforcement officers complete Incident Reports to document various routine types of incidents, such as Case Activity Reports. These reports generally do not lead to additional investigation or action. Officers submit an electronic copy (Word Processing software) to the LE Madison database manager.

RETENTION: EVENT + 3 years and destroy confidential

<u>00907000.</u>	<u>DNR HOTLINE REPORTS</u>	<u>CR+25</u>	<u>DEST</u>	<u>Y</u>
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DNR's Violation Hotline program provides Wisconsin citizens with the opportunity to confidentially report suspected wildlife, recreational, and environmental violations using a toll-free number. Trained staff relay reports to DNR Conservation Wardens who respond. All calls and Emails received are entered into the Hotline database. Wardens response are and follow-up are also entered into the database.

Note: Anyone who calls the hotline or provides information can remain anonymous. Hotline report information is unsubstantiated and is considered confidential under Wis. Stat. § 23.98. Reports are filed by the date reported. Report information is later entered into an electronic database.

RETENTION: EVENT (Creation) + 25 years and destroy confidential

<u>00908000.</u>	<u>WARDEN AUDIT REPORTS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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This series covers the reports and supporting documentation generated from Warden audits. Under Wis. Stat. Ch. 29, Wardens perform audits on businesses which are allowed to commercialize fish and game. In the course of these audits, Wardens examine documents of the business being audited. Those documents remain the custody of the! businesses unless copies are made for the warden's use. When the audit report finds the subject in compliance with state law and no enforcement action is needed, the report is retained for 3 years and supporting documentation is discarded.

NOTE: If the audit results in the need for an investigation, order, referral, etc., the Audit Report and supporting documentation will be filed with those records.

RETENTION: EVENT (Creation) + 3 years and destroy confidential

<u>00909000.</u>	<u>WHOLESALE FISH DEALER AND COMMERCIAL FISHERS ANNUAL INVENTORY</u>	<u>CR+6</u>	<u>DEST</u>	<u>N</u>
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Under Wis. Stat § 29.503 and § 29.519(5m), wholesale fish dealers and commercial fishers are required to submit an annual inventory report to the Department documenting species, condition, quantity, and location of fish in possession or under control on a specified date. These inventory reports are used by Law Enforcement in audits and investigations to ensure compliance with harvest quotas. Upon request of the licensee, the Department is required to keep all information on the reports confidential except for statistical summaries or as disclosure may be necessary for prosecution of commercial fish or wholesale fish dealer law violations.

RETENTION: EVENT (Creation) + 6 years and destroy

<u>00910000.</u>	<u>FOREIGN LAKE TROUT INVOICES & BILL OF LADING</u>	<u>CR+6</u>	<u>DEST</u>	<u>N</u>
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Under Wis. Stat. § 29.503, wholesale fish dealers are required to notify the Department of an anticipated arrival of a foreign lake trout shipment. The Department documents this notification either in writing or electronically. The notification is followed by the wholesale fish dealer mailing or faxing the invoice or bill of lading to the Department. This information is used by Law Enforcement to monitor lake trout purchases and sales.

RETENTION: EVENT (Creation) + 6 years and destroy

<u>00911000.</u>	<u>COMMERCIAL FISH ACTIVITY REPORT</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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Form 4100-205 is used extensively in the Northeast Region (NER), and to a lesser extent in the Southeast Region (SER) to document contacts with the commercial fishing industry (commercial fishers, wholesale fish dealers, sport trollers/charter boats, and guides) as authorized in Wis. Stat. ch. 29. This data was entered into an electronic database for several years prior to 2002. In September 2006, this form has been integrated into an electronic complaint documentation system linked to the DEARS software on each Warden's

computer. Paper copies are still used.

RETENTION: EVENT (Date submitted) + 6 years and destroy

<u>00913000.</u>	<u>ELECTRONIC FORENSIC DATA COLLECTION & STORAGE DEVICES</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>N</u>
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Records in this series include but are not limited to the data collected on electronic and digital data removal equipment and storage devices during an enforcement investigation.

RETENTION: EVENT (Investigation complete, final court decision & appeal limit reached) + 10 days and destroy

<u>01122000.</u>	<u>PETROLEUM ENVIRONMENTAL CLEANUP FUND AWARD (PECFA) TECHNICAL</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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These records include files containing technical site information regarding the remediation of petroleum contaminated sites under the jurisdiction of the PECFA Bureau. Record series contains the following information - reports, updates, letters, maps, tables, charts, calculations, and occasional photos of petroleum contaminated properties from consultants, property owners, other responsible parties and the Bureau's responses to said materials. There are several reasons people/organizations (including PECFA and/or its successor agency) need to review historical, geological and/or residual contamination data, including, but not limited to:

1. Potential removal of a:

- Property listing from the DNR GIS registry
- Deed instrument from a property deed

The removal of either one or both of the two above requires historical and current data. Because properties have had residual contamination present that required an unknown reasonable amount of time to decrease to "safe" concentrations (e.g., several will likely exceed 100 years), it is imperative that the case files be retained. Property owner's change names and addresses all the time. It is extremely important to keep track of the data, especially with several thousand property owners holding on to their own piece of data. One source of all the data provides for the most efficient and effective approach.

2. The study of the long-term effects of petroleum contamination on human health, microbes and/or the environment (specifically in colder regions).

3. The determination/confirmation of the long-term breakdown processes and byproducts for petroleum contamination in the environment, rather than a controlled laboratory.

4. Having the ability to determine the appropriateness of a previous closure of a site/occurrence should future issues arise regarding contamination at the source property or a neighboring or down-gradient property. Historical data would be priceless in minimizing the liability of the DNR. Due to the uncertainty of all of the mechanisms present beneath the surface of the earth, unique situations could arise that require the use of historical data to determine the best course of action necessary to alleviate the problem.

5. Perform future scientific studies of the geologic and hydrologic formations across Wisconsin. University students and/or state or federal agencies/employees including the USGS, EPA, etc. could complete such studies. The following is one such recent example of historical data being requested, to use for future uses: the USGS has approached the DNR regarding interest in obtaining the soil borings (data) from (PECFA) sites.

PERMANENT RETENTION JUSTIFICATION: PECFA Site review section case files contain scientific, geological and historical data, which can and will be utilized years/decades into the future. This summary remediation and redevelopment information is needed permanently to continue to provide prospective purchasers and other interested parties with information as to whether or not a parcel of land was ever identified as a hazardous substance discharge site, whether or not an environmental investigation or cleanup was monitored by the DNR for that parcel, and whether or not restrictions on land use or groundwater use have been required.

RETENTION: Permanent

<u>01123000.</u>	<u>PETROLEUM ENVIRONMENTAL CLEANUP FUND AWARD (PECFA) REMEDIATION</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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This record series contains materials related to the remediation of petroleum contamination. Included in the series are applications and documents required to secure financial reimbursement for the environmental cleanup costs associated with the remediation of a site contaminated by a petroleum storage tank product leak. For sites which are only soil contaminations (no groundwater contamination), the series will also include documents regarding decisions on site closure (no additional required remedial actions). Sites which are within the responsibility for closure include ones not eligible for reimbursement under the fund.

PECFA was created by the Wisconsin Legislature to help tank owners pay the costs associated with reclamation of a petroleum contaminated site.

Record series may contain considerable documentation that includes:

- request for determination of eligibility;
- the initial application for funds;
- a cleanup cost detail;
- proof of payment;
- site investigation and remedial action plan documents;
- a current owner assignment certification;
- site assessment;
- assignment of PECFA proceeds;
- requests for closure and decisions by agency;
- enforcement information;

- and all other pertinent documentation.

RETENTION: EVENT (Date of final payment of a claim and last office action taken to close file) +7 years and destroy confidential

<u>01131000.</u>	<u>ENVIRONMENTAL IMPACT ANALYSIS DOCUMENTS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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The DNR Bureau of Energy, Analysis and Sustainability (BEAS) permanently maintains a master copy of all non-master planning Environmental Impact Statements generated by the Department. Records series covers the official records of Environmental Impact Statements (EIS) and other environmental analysis documents. Section 1.11, of the Wisconsin Statutes, requires a detailed environmental analysis of the environmental impact and potential adverse effects and alternatives to the proposed action when the proposals for legislations and other major actions significantly affect the quality of the human environment.

DNR Archive of Environmental Impact Analysis Documents: Records series also covers electronic data on the BEAS internet site located at <http://dnr.wi.gov/topic/eia/archivetitle.html>, containing archived environmental impact analysis (EIA) documents. Data includes the following: Document ID Link (with live link to environmental analysis document web address), Project Title, Project Type (EIS, EA, etc.), Document Date, County(ies), and Affected Resource(s). Inventory provides ready access to WEPA documents. Note: Paper copies of the EIS documents are distributed to document depositories, including the State Historical Society, as required under Wis. Stat. 35.84.

Note: Since the early 1990s, master planning related to Department-owned or managed state parks, hatcheries and other state properties combine the master plan and the EIS into a single document.

The official file of the master plan/EIS combination is located in the Bureau of Facilities and Lands. (See: GRS FAC00009, Environmental Assessment & Impact Statements or RDA #370/00780000, Master Plan Case File - Official LF Copy).

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code, Ch. Adm 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

Permanent Justification: DNR has ongoing needs for these records. These records provide historical background information regarding the agency's procedures and evolution. Permanent record shall be available in some format; the original record format may be digitized and then discarded.

RETENTION: Permanent

<u>01132000.</u>	<u>HEARING CONSERVATION PROGRAM TEST RESULTS</u>	<u>CR+50</u>	<u>DEST</u>	<u>N</u>
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This RDA covers paper and electronic records that have been submitted to the agency from audiologist conducting annual hearing exams for the department. Prior to 2014, audiometric test results had been tracked in an Access database, from electronic files on CDs and paper documents. These will continue to be held until the end retention period, 50 years, and then destroyed confidentially. The current Oracle database application developed in 2014, allows us to import the secured data to our database and the records will be deleted at the end of their retention period.

OSHA 1910.95(m)(3): Employers must keep noise exposure measurement records for two years and maintain records of audiometric test results for the duration of the affected employee's employment.

OSHA 1910.95(m)(2)(ii): Audiometric test records must include the employee's name and job classification, date, examiner's name, date of the last acoustic or exhaustive calibration, measurements of the background sound pressure levels in audiometric test rooms, and the employee's most recent noise exposure measurement.

An employee's medical records are confidential and must be kept separate pursuant to the Americans with Disabilities Act. See 29 CFR s. 1630.14.

RETENTION: EVENT (Creation) + 50 years and destroy confidential

<u>01133000.</u>	<u>ENVIRONMENTAL IMPACT REPORT (EIR) FROM CONSULTANTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records in this series covers the final draft of documents that are prepared exclusively by a mining permit, power plant or other major project applicant with appropriate guidance from DNR staff.

An EIR includes the applicant's projections of what the environmental impacts of a project would likely be. The applicant provides their EIR report to DNR and we verify its completeness and accuracy, then use those parts of it that DNR staff deem suitable in our EIS process.

Preliminary data and other submittals, such as biological assessments performed by consultants to the applicant; engineering plans and other information detailing the proposed project and reports that describe in detail the natural environment that would be impacted by a project are treated as Ancillary Files under 370/01134.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code Ch. Adm 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Date of record of decision nor WEPA compliance determination + 10 years and destroy confidential

<u>01134000.</u>	<u>EIS/EA/EIR PROJECT ANCILLARY FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include correspondence, maps, applicant submittals, preliminary analyses, consultant reports, and working files for each Environmental Impact Statement (EIS) [Wis. Stat. 1.11], Environmental Assessment (EA) [Wis. Admin. Code, ch. NR 150] or Environmental Impact Report (EIR), [Wis. Stat. 23.11(5)]. These materials do not include the final EIS, EA, nor EIR, nor do they include metallic mining records to be retained under Record Series 370/00487.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. Adm 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Date of record of decision or WEPA compliance determination) + 5 years and destroy confidential

<u>01135000.</u>	<u>NEPA/WEPA ENVIRONMENTAL REVIEW</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records series covers documents prepared by state and federal agencies under the National and Wisconsin Environmental Policy Acts (NEPA/WEPA) and submitted to the DNR for review. Includes all correspondence, including e-mail messages generated during the course of the DNR process to final DNR decision.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. Adm 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Date of WEPA compliance determination nor federal Record of Decision) + 5 years and destroy confidential

<u>01136000.</u>	<u>ENVIRONMENTAL REVIEW UNDER DNR/DOT COOPERATIVE AGREEMENT</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include correspondence, maps, applicant submittals, preliminary analyses, and working files for each Environmental Impact Statement (EIS) [Wis. Stat. § 1.11], or Environmental Impact Review (EIR)- [Wis. Stat. § 23.11(5)], project for which BEAS staff provide assistance under the DNR/DOT Cooperative Agreement. These materials do not include the final EIS or EIR reports (of which DOT is the custodian)>

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. Adm 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (EIS/EIR Approval Date) + 5 years and destroy confidential

<u>01137000.</u>	<u>LOCAL ROADS PROJECT REVIEW AND PERMITTING</u>	<u>EVT+100</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include guidance approved and issued by Bureau of Energy, Analysis and Sustainability (BEAS) leadership; correspondence, maps, applicant submittals, preliminary analyses, monitoring data and working files for each permit review. These materials do not include any Environmental Impact Statement (EIS) or Environmental Impact Report (EIR) reports.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch Adm 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Date of issuance of permit or approval) + 100 years and destroy confidential

<u>01138000.</u>	<u>UTILITY PROJECT REVIEW AND PERMITTING</u>	<u>EVT+100</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include correspondence, maps, applicant submittals, preliminary analyses, monitoring data and working files for each permit review. These materials do not include any EIS or EIR reports.

Note: See 370/00016000 - Water Regulatory Decisions. "These decisions include: ...Utility Waterway Crossings..."

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. Adm 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Date of issuance of permit or approval) + 100 years and destroy confidential

<u>01139000.</u>	<u>FRIENDS GROUPS CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Records series covers DNR Friends Groups and their activities to support and promote specific DNR activity/function efforts.

Records include:
 - Organization files for each friends group, including mission statements, Articles of Incorporation and member contact names and addresses
 - DNR Agreements (FORMAL MOUs or Contracts) with Friends Groups

- Insurance Certificates
- Annual Fiscal and Program Report to the Department, which may or may not include a list of donors or itemized donations (Wis. Admin. Code §§ NR 1.71(4)(b)).
- Friends meeting agendas and minutes of meetings
- Friends Group sponsored events
- Significant correspondences

RETENTION: EVENT (Obsolete or superseded) + 10 years and destroy confidential

<u>01141000.</u>	<u>PUBLIC WATER SYSTEMS EPA REPORTING</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Records include: water capacity development to ensure that public water systems demonstrate technical, managerial and financial capacity; Environmental Performance Partnership Agreement (EnPPA) which is an agreement entered into between DNR and US EPA Region 5 that defines how the two will work together for the benefit of the public an environment; and Operator certification. (These are different than the Operator Certification records in Science Services. These are required reports sent to EPA on an annual basis.)

RETENTION: EVENT (Date received) + 5 years and destroy

<u>01142000.</u>	<u>SAFE DRINKING WATER ACT (SDWA) PRIMACY FOR STATES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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The requirements for State Primacy are contained in 40CFR142, Subp. B. Records in this series pertain to Wisconsin's formal agreements with EPA to implement SDWA rules.

Documents need to be kept until a new primacy package is submitted to EPA at which point the old package must be kept for one year and then destroyed.

RETENTION: EVENT (Superseded) + 1 year and destroy

<u>01143000.</u>	<u>WATER USE SYSTEM DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Record series covers electronic records documenting high capacity well applications, water use registrations, withdrawal information, reporting data and permitted withdrawal information. This includes information entered into the system by the regulated community as well as by department staff.

Sensitive Information Note: Records in this series may contain the locations of withdrawals or diversions which are sensitive information. Sections NR 856.15 and 860.14, Wis. Admin. Code provides that open records requests received by the department under Wis. Stats. §§ 19.21 to 19.39, that request information on the location of withdrawals or diversions may be subject to greater scrutiny by the department because of domestic security concerns, as allowed under Wis. Stats. §§ 281.346(3)(cm) and (9)(e).

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

Permanent Justification: DNR has ongoing research need for these records. Rules are amended frequently, and complete background information is needed.

RETENTION: Permanent

<u>01144000.</u>	<u>WATER USE REGISTRATION</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers paper records documenting water use registrations and terminations and attachments and associated substantive communications.

This series includes the following forms:

- * Water Use Registration Forms (3300-267)
- * Termination of water Withdrawal Registration Forms (3300-271)
- * Well Filling and Sealing Report Forms (3300-005)

Sensitive Information Note: Records in this series may contain the locations of withdrawals or diversions which are sensitive information. Sections NR 856.15 and 860.14, Wis. Admin. Code provides that open records requests received by the department under Wis. Stats. §§ 19.21 to 19.39, that request information on the location of withdrawals or diversions may be subject to greater scrutiny by the department because of domestic security concerns, as allowed under Wis. Stats. §§ 281.346(3)(cm) and (9)(e).

RETENTION: EVENT (Terminations of well registration) + 3 years and destroy confidential

<u>01145000.</u>	<u>WATER USE FEE</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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Records series covers paper and electronic records documenting property information affecting fees.

This series includes the following forms:

- * Property Interest Verification Form (Interim)
- * Water Use Fee Cap Certification for Small Businesses (3500-117)

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the

standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Date of decision, lapse or withdrawal) + 3 years and transfer to WHS

<u>01146000.</u>	<u>HIGH CAPACITY WELL APPROVAL APPLICATION REVIEW - APPROVED/LAP!</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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Records series covers paper documenting review materials for high capacity wells. This record series includes applications, attachments, approval or denial letters, maps, technical drawings, inspection notes, site photographs and associated substantive communications.

Sensitive Information Note: Records in this series may contain the locations of withdrawals or diversions which are sensitive information. Sections NR 856.15 and 860.14, Wis. Admin. Code provides that open records requests received by the department under Wis. Stats. §§ 19.21 to 19.39, that request information on the location of withdrawals or diversions may be subject to greater scrutiny by the department because of domestic security concerns, as allowed under Wis. Stats. §§ 281.346(3)(cm) and (9)(e).

RETENTION: EVENT (Date of denial, withdrawal, termination or rescission) + 3 years and transfer to WHS

<u>01147000.</u>	<u>WATER USE REPORTING</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers paper records documenting annual water withdrawal reports and attachments, enforcement correspondence and associated substantive communications.

This series includes the following form:
 * Water Withdrawal Reports (3300-275)

RETENTION: EVENT (Year of report) + 3 years and destroy confidential

<u>01148000.</u>	<u>WATER USE PERMITS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers paper documenting automatic approvals, general and individual permit applications, permit review materials, notice of coverage letters, permit modifications, approval or denial letters, enforcement correspondence, permit terminations, and attachments and associated substantive communications.

This series includes the following forms:
 * General Permit Application Forms (3300-273)
 * Individual Permit Application Forms (Interim)
 * Automatic permits (General and Individual, Dec. 8, 2011)
 * Permit Modifications (3300-274)

RETENTION: EVENT (Termination of permit) + 3 years and destroy confidential

<u>01149000.</u>	<u>GREAT LAKES BASIN WATER DIVERSIONS - PAPER</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers paper records documenting grandfathered approvals, diversion applications, review materials, and attachments and associated substantive communications.

This series may contain confidential NHI information and are exempt from State Open Records Law, Wis. Stat., (s.19.35, 23.27(3)(b)).

Sensitive Information Note: Records in this series may contain the locations of withdrawals or diversions which are sensitive information. Sections NR 856.15 and 860.14, Wis. Admin. Code provides that open records requests received by the department under Wis. Stats. §§ 19.21 to 19.39, that request information on the location of withdrawals or diversions may be subject to greater scrutiny by the department because of domestic security concerns, as allowed under Wis. Stats. §§ 281.346(3)(cm) and (9)(e).

RETENTION: EVENT (Final decision on the diversion) + 3 years and destroy confidential

<u>01150000.</u>	<u>GREAT LAKES BASIN WATER DIVERSIONS - ELECTRONIC</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Records series covers electronic records documenting grandfathered approvals, diversion applications, review materials, and attachments and associated substantive communications. Files are retained permanently due to legal and administrative value to the department and public reference and interest in the particular case. These records may also have historical value.

This series may contain confidential NHI information and are exempt from State Open Records Law Wis. Stat. § 19.35, 23.27(3)(b).

Sensitive Information Note: Records in this series may contain the locations of withdrawals or diversions which are sensitive information. Sections NR 856.15 and 860.14, Wis. Admin. Code provides that open records requests received by the department under Wis. Stats. §§ 19.21 to 19.39, that request information on the location of withdrawals or diversions may be subject to greater scrutiny by the department because of domestic security concerns, as allowed under Wis. Stats. §§ 281.346(3)(cm) and (9)(e).

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

Permanent Justification: DNR has ongoing research need for these records. Rules are amended frequently, and complete background

RDA #	RDA Title	Retention	Disposition	PII
	information is needed. RETENTION: Permanent			
<u>01151000.</u>	<u>WATER LOSS APPROVALS - PAPER</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Records series covers paper documenting water loss applications and attachments and associated substantive communications. RETENTION: EVENT (Termination of water loss approval) + 3 years and destroy confidential			
<u>01152000.</u>	<u>WATER LOSS APPROVALS - ELECTRONIC</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	Records series covers electronic documenting water loss applications and attachments and associated substantive communications. Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf Permanent Justification: DNR has ongoing research need for these records. Department rules for water supply service area plans are currently being drafted, and complete background information is needed. RETENTION: Permanent			
<u>01153000.</u>	<u>WATER SUPPLY SERVICE AREA PLANS - PAPER</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Records series covers paper records documenting water supply service area plans and attachments and associated substantive communications. RETENTION: EVENT (Plan expiration or termination) + 3 years and destroy confidential			
<u>01154000.</u>	<u>WATER SUPPLY SERVICE AREA PLANS - ELECTRONIC</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	Records series covers electronic records documenting water supply service area plans and attachments and associated substantive communications. Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf Permanent Justification: DNR has ongoing research need for these records. Department rules for water supply service area plans are currently being drafted, and complete background information is needed. RETENTION: Permanent			
<u>01155000.</u>	<u>WATER CONSERVATION AND EFFICIENCY PLANS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Records series covers paper records documenting water conservation and efficiency plans and attachments, conservation forms for each water use sector (draft forms 3300-277-3300-294), and associated substantive communications. Note: Currently there is no electronic component of water conservation and efficiency plans, only the paper forms are kept. RETENTION: EVENT (Lapse or termination of plan) + 3 years and destroy confidential			
<u>01168000.</u>	<u>DNR SWITCHBOARD PORTAL</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
	Records in this series include the original signed paper documents submitted by ESR users. These documents are required to be retained by DNR. RETENTION: EVENT (Date of last signature received for the calendar year) + 50 years and destroy confidential			
<u>01193000.</u>	<u>REFRIGERANT RECOVERY PROGRAM - INITIAL APPLICATION AND DETERM</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	This record series consists of initial application materials for the salvaging, dismantling, transporter and WI DOT salvagers. Includes, but not limited to, the following: application with relevant forms, Social Security/FEIN Collection Request Form (form 9400-568), correspondence, determination letter and registration certification. Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially. Event definition: Facility is inactive when the application is denied or certification expired. Reason for creation: These records were identified during agency review.			

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (facility inactive) + 5 years and destroy confidentially

01194000.	REFRIGERANT RECOVERY PROGRAM - REVISION AND/OR RENEWAL APPLI	EVT+5	DEST	Y
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This record series consists of revision and/or renewal application materials for the salvaging, dismantling, transporter and WI DOT salvagers. Includes, but not limited to, the following: application with relevant forms, correspondence, determination letter and registration certification. This does not include new ownership where a new initial application is required.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Reason for creation: These records were identified during agency review

RETENTION: EVENT (certificate issuance) + 5 years and destroy confidentially

01195000.	BUREAU OF AIR MANAGEMENT PUBLIC INFORMATION	EVT+3	DEST	N
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This record series consists of informational materials intended for our internal and external customers and the general public. Materials content is not sensitive, confidential or controversial. Includes, but not limited to, the following: web pages, fact sheets, frequently asked questions, user guides, instructions, audio/visual materials, etc.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Event definition: Materials are out of date when the information is superseded or content no longer relevant.

Reason for creation: These records were identified during agency review.

RETENTION: EVENT (materials out of date) + 3 years and destroy

Dept #: /012/ Department Name: FOREST MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
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00630000.	FOREST TAX DATA - LEDGERS AND PARTICIPANT CASE FILES	EVT+60	DEST	Y
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Records in this series include continuous electronic data records (Oracle) for the Wisconsin Forest Inventory & Reporting System (WisFIRS). Electronic records in this series include ledger data on billings to and payments from participants in MFL & FCL; tax payments and annual aid payments to towns and counties; and closed acreage fees collected per Wis. Stat. ch. 77. The data is updated regularly and is needed for program tax collection and reimbursement purposes. Ledger data is needed for as long as the program is in existence for administrative purposes. It provides specifics on funds collected and disbursed and data needed for forest management trend analysis.

Records in this series cover data in the Oracle database needed to manage each parcel of land in MFL and FCL programs and to track the parcel throughout the contractual period. Data includes case file number for each parcel of land enrolled, address of land and legal description, contract designation year and contract length, participant information and ownership changes. The database is updated regularly.

Retention Justification: Records are needed for the full length of the MFL or FCL contract plus an additional ten years for reference and program administrative purposes. Due to the integrated records management system, all records are kept for the length of the longest contract which is 50 years.

RETENTION: EVENT (Effective date) + 60 years and destroy confidential

00636000.	FOREST CROP LAND (FCL) & MANAGED FOREST LAW (MFL) CASE FILES	EVT+60	DEST	Y
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Records in this series cover complete case files which includes paper documentation related to the MFL or FCL programs and documentation received and sent for land enrolled, which may include duplication of records like paper contracts of land enrolled in the FCL & MFL programs under Wis. Stat ch. 77, subchs. I and VI.

Retention Justification: Records are needed for the full length of the MFL or FCL contract plus an additional ten years for reference and program administrative purposes. Due to the integrated records management system, all records are kept for the length of the longest

RDA #	RDA Title	Retention	Disposition	PII
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contract which is 50 years.

RETENTION: EVENT (Effective date) + 60 years and destroy confidential

<u>00636A00.</u>	<u>FCL & MFL MASTER CASE FILES</u>	<u>EVT+60</u>	<u>SHSW</u>	<u>Y</u>
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Microfilm & Electronic records in this series include contracts of land enrolled in the FCL & MFL programs under Wis. Stat. ch. 77, subchs. I and VI, including application, order of entry, land exam and practice report, maps, management plan, land listing, transfers and withdrawals, contested case hearings, investigations information and significant correspondence.

The Central FR office maintains the official microfilm versions of FCL & MFL case files. Field foresters and certified plan writers enter data and scan paper originals into an Oracle database that is maintained by Central Office staff. Paper copies are kept in the field foresters' files and are covered by RDA 636 FCL and MFL Case Files.

Retention Justification: Records are needed for the full length of the MFL or FCL contract plus an additional ten years for reference and program administrative purposes. Due to the integrated records management system, all records are kept for the length of the longest contract which is 50 years.

RETENTION: EVENT (Effective date) + 60 years and transfer to WHS

<u>00637000.</u>	<u>FCL SEVERANCE TAX BILLINGS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Records series covers documentation of timber sales on land enrolled under the Forest Crop Law program, including supporting materials for severance tax required by Wis. Stat. § 77.07. Files contain original cutting notice/reports, relevant timber sale correspondence and invoices.

RETENTION: EVENT (Date of last payment) + 6 years and destroy confidential

<u>00638000.</u>	<u>FCL & MFL MASTER LIST REPORTS</u>	<u>EVT+60</u>	<u>SHSW</u>	<u>N</u>
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Record series covers master listings of lands entered into FCL and MFL programs generated annually from Forest Tax database. Reports identify all parcels participating in the program and are generated to provide snapshots in time of all relevant program data in the database when the report is generated, including owner, location of land, and status of open and closed designation. Reports are generated by WisFIRS and stored electronically on the server.

Retention Justification: Reports have long-term value for reference purposes and to assure that the program is administered appropriately. FCL and MFL Summary of acreage by municipality is included in this series. It is a summary report used by the Department and the Department of Revenue for reference and general trends analysis.

RETENTION: EVENT (Creation of Master List Report) + 60 years and transfer to WHS

<u>00642000.</u>	<u>TIMBER SALES REPORTS (STATE OWNED PROPERTIES) - FIELD FORESTER</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Under Wis. Stat § 28.05, the Department may sell products removed in cultural or salvage cuttings and standing timber from state forests. Records series include Field Forester's records of timber sales as described in the Timber Sale Handbook (2461) chapter 80 (86-1, 86-2), including original documentation of timber sale contracts, timber sale notice and cutting reports, letter of credit and timber sale maps. These records track the history of timber management activity that has occurred on the properties.

Permanent Justification: Permanent retention is needed for continued management of Wisconsin's forests and to protect the public interest.

RETENTION: Permanent

<u>00642A00.</u>	<u>TIMBER SALES REPORTS (STATE OWNED PROPERTIES) TRANSACTION DE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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This series may include Field Forester records and additional detail on timber sale transactions, such as remittances and invoices, close out forms, scale slips, and other bid and performance bond information. Records are maintained for the purpose of tracking and balancing the forestry bond account.

RETENTION: EVENT (Audit of timer sales) + 6 years and destroy

<u>00643000.</u>	<u>ANNUAL AID AND RESOURCES AID PAYMENTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Records in this series includes payments to municipalities and counties made by the department annually for lands enrolled in MFL, FCL and County Forest Law (CFL).

- Annual Aid payments are described in Wis. Stat. §§ 77.05, 77.85 and 28.11 (8)(a). Payments are a per acre payment for acres enrolled under FCL, MFL and CFL. Records include report showing amounts to be paid by municipality and program.

- Resources Aid payments are described in Wis. Stat. § 23.09(18) . Payments are made to counties with 40,000 or more acres of MFL and FCL lands. Under current appropriations, a total of \$1.25 million is shared by the qualifying counties. Records include reports showing acres entered in each county, amounts paid to eligible counties and relevant correspondence.

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Close of claim) + 6 years and transfer to WHS

<u>00644000.</u>	<u>FOREST RECONNAISSANCE DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Forest Reconnaissance data on the timber types and forest practice activities carried out on County Forests and State Forests/Lands is used to facilitate the scheduling of forest management activities on each county forest or state property. The spatial land layer includes forest location, stand type and make-up, species present, invasives present, and harvest information. This database is a continually updated snapshot of the timber types and management practices being proposed on these public lands. Field foresters maintain and are responsible for updating this data and entering it into an application connected to the Forest Reconnaissance database.

RETENTION: EVENT (Superseded) and destroy

<u>00645000.</u>	<u>CFL LEDGERS AND MAINTENANCE DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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CFL Ledgers and Maintenance Data: Records in this series include continuous electronic data records (Oracle) for WisFIRS used by the CFL Program. These include the following:

- Ledgers for County Forest loans
- Ledgers and data on severance tax billings to, and payments from, counties.
- Acreage entered in the CFL program
- Timber sale volume, value, # of sales, cut acres and species information for the individual county forests.

Permanent Justification: This data is needed to track whether a county is subject to severance tax as stipulated under Wis. Stat. § 28.11 (9) and if so, that they have been billed and have paid accordingly. Acreage listings are maintained in order to allocate money under the variable acreage share loan and Wildlife Habitat grant programs and so DNR can make aid payments to Towns under Wis. Stat. § 28.11 (8) and so Counties can make stumpage allocations to Towns under Wis. Stat. § 28.11 (9)(d).

RETENTION: Permanent

<u>00649000.</u>	<u>CFL TIMBER SALES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Under Wis. Stat. § 28.11, County Forests are authorized to sell forest products removed in cultural operations or timber sales. Each County is required to maintain detailed timber sale records (see RDA# 00650000 CFL Audits). However, local field foresters are also charged with maintaining historical data (Timber Sale Handbook 2461, page 111-2).

Field foresters retain the cutting notice & report, the DNR copy of the sale contract and map. These records track the history of management activity on the properties and provide valuable insight into successive forest trends and impacts of forest management practices. Information is frequently referenced by field staff.

Permanent Justification: DNR has ongoing requests for these records. These records provide historical background information regarding the agency's procedures and evolution. Permanent record shall be available in some format; the original record format may be digitized, verified, and then discarded.

RETENTION: Permanent

<u>00650000.</u>	<u>CFL AUDITS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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The Public Forest Lands Handbook (2460.5 - Chapter 230) requires the DNR to audit county forests on a three-year cycle, including loans, grants, payments, aids and timber sale program. This is to ensure that sound forest management is being done and the county forest is in adherence to Wis. Stat. § 28.11 . Records in this series include audit reports and findings, including supporting materials that DNR auditors create and collect.

RETENTION: EVENT (Audit completion) + 10 years and destroy

<u>00651000.</u>	<u>CFL ENTRIES AND WITHDRAWALS - ORDERS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Records in this series include the official signed CFL orders of entry, orders of withdrawal, withdrawal findings of fact and any hearing transcripts or findings. Wis. Stat. §§ 28.11 (4) & 28.11 (11) reference the process that generates these records. This is the official documentation of entries and withdrawals from the program. A copy of the order of entry is provided to the county clerk and county forestry committee and is recorded with the register of deeds.

Permanent Justification: These records track the history of lands enrolled as county forest lands. Permanent retention is needed for continued management of county forests on public lands and to protect the public interest Permanent record shall be available in some format; the original record format may be digitized, verified, and then discarded.

RETENTION: Permanent

<u>00651A00.</u>	<u>CFL ENTRIES AND WITHDRAWALS - DOCUMENTATION AND CORRESPONDE</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Records in this series include CFL applications, letters, briefs, exhibits and environmental assessments.

RETENTION: EVENT (Approval of entry or withdrawal) + 10 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
<u>00652000.</u>	<u>COUNTY FOREST COMPREHENSIVE LAND USE PLANS</u>	<u>EVT+60</u>	<u>DEST</u>	<u>N</u>
	<p>Wis. Stat. § 28.11 (5), requires the respective County Forest Committees to develop a plan, currently for a 15-yr period, that governs the management of the County Forest. The plan must be approved by the respective County Board and the DNR. Management of each County Forest is bound by this document, and it is a common reference both by the Counties and the DNR. This record series includes the environmental assessment of each plan.</p> <p>Retention Justification: These records track the history of lands enrolled as county forest lands. Retention is needed for continued management of county forests on public lands and to protect the public interest. Records shall be available in some format; the original record format may be digitized, verified, and then discarded.</p> <p>RETENTION: EVENT (Approval of completed subsequent plan) + 60 years and transfer to WHS</p>			
<u>00653000.</u>	<u>CFL PROGRAM GUIDANCE AND POLICY CORRESPONDENCE</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
	<p>Records in this series document the policies of the County Forest Law program. Includes issue papers, strategic plans and significant correspondence interpreting or formulating policy for the program. Additionally, any summary information on the various facets of the program that would have historical value is included. Summary information of loan and grant history, county forest time standards and cumulative timber sale data are examples of such information. Note: DNR has related series file for Administrative Rule files and Directives (Manual Codes and Handbooks).</p> <p>Permanent Justification: DNR has ongoing requests for these records. These records provide historical background information regarding the agency's procedures and evolution. Permanent record shall be available in some format; the original record format may be digitized, verified, and then discarded.</p>			
<u>00657000.</u>	<u>CERTIFIED PLAN WRITER CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	<p>Records in this series include letters, MFL management plan packets, and other miscellaneous documentation related to eligibility, maintenance, revocation and appeal of individual plan writer certification. Wis. Stat. ch. 77, subch. VI, requires that private foresters must be certified by the department to write MFL management plans. Wis. Admin. Code, ch. NR 46, subch. III, establishes eligibility, maintenance and revocation requirements for certification.</p> <p>RETENTION: EVENT (Certification denial or termination) + 6 years and destroy confidential</p>			
<u>00682000.</u>	<u>GYPSY MOTH MONITORING PROGRAM</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
	<p>This program monitors the spread and changes in the population of gypsy moth in WI using pheromone baited traps. Where gypsy moth is present in isolated, pioneering colonies, DATCP uses insecticides or mating disruption techniques to attempt to eradicate the colony. Records series includes maps and data on results of gypsy moth trapping in Wisconsin. Maps and data are generated from U.S. Forest Service and DATCP systems. DNR uses data for suppression program planning.</p> <p>Retention Justification: These records are used in long-term studies on the changes in populations of gypsy moth.</p> <p>RETENTION: EVENT (Trapping program complete) + 50 years and transfer to WHS</p>			
<u>00683000.</u>	<u>GYPSY MOTH BIOCONTROL SURVEY PROGRAM</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
	<p>Once gypsy moth is established, DNR becomes the lead agency in the management of this pest. Natural enemies are introduced where appropriate and monitored for establishment in the Biocontrol Program. Public education and training are provided so landowners, municipal and DNR staff are aware of the options for management of gypsy moth. Records series includes maps, data and reports on the pre-release and post release surveys for parasites and diseases introduced to aid in management of the non-native gypsy moth. Data also includes records collected on non-native natural enemies of gypsy moth that have become established on their own.</p> <p>Retention Justification: These records are used in long-term studies on introduction, establishment and spread of non-native land enemies of gypsy moth.</p> <p>RETENTION: EVENT (Survey complete) + 50 years and transfer to WHS</p>			
<u>00684000.</u>	<u>GYPSY MOTH TREATMENT (SPRAY) PROGRAM: ERADICATION, STS AND SU</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
	<p>Where outbreaks of this pest threaten to cause heavy defoliation and subsequent stress of trees, the DNR offers participation in a state organized suppression spray as described in Wis. Admin Code ch. 47, sub chapter IX Rules for Federal Cost Sharing Program to Suppress Gypsy Moth. The federal government provides partial reimbursement of the cost of this treatment and for any preparatory work.</p> <p>Records include maps of treatment sites, memos, Spray Plans, Environmental Assessments, Safety Plans, bills, correspondence with local spray coordinators and with concerned citizens, results of follow-up surveys to determine efficacy of the spray, and data used in timing the spray. This records series may also include relevant maps and other long-term value records from grant programs. This records series also includes maps and associated information on eradication and efforts to slow the spread in eastern Wisconsin from 1992-2000.</p>			

RDA #	RDA Title	Retention	Disposition	PII
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NOTE: This treatment program will be completed at the end of the summer of 2018. This RDA series will need to be revisited to deactivate accordingly at the end of summer 2018.

Retention Justification: Long-term records of treatments are used in assessing changes in threat level of the target pest.

RETENTION: EVENT (Spraying complete) + 50 years and transfer to WHS

<u>00687000.</u>	<u>CHAMPION TREE NOMINATION CASE FILES</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
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The Champion Tree program recognizes big trees throughout the state, whether they are on public or NEW private land. Records cover submission for champion nomination, submissions for the top 10 trees of each species, and related documentation and correspondence. Records related to the top 10 submissions of each species are kept to allow for replacement of current champions. These Champion Trees hold significant historical and economic value to the state.

Retention Justification: The Forestry program needs to retain these reports for research, statistical and administrative purposes. The retention period reflects the average lifespan of a tree.

RETENTION: EVENT (Nomination submission) + 50 years and transfer to WHS

<u>00700000.</u>	<u>FOREST NURSERY DATA</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Data includes tracking information related to the processing of tree orders, current salable stock inventories, county shipping schedules, revenue and sales tax amounts. Records in this series are maintained in an electronic database records (currently in Access) for the nursery program. All key information related to each tree order is entered on a daily basis. Griffith State Nursery personnel create and maintain the database annually to reflect one year of nursery data for all three DNR nurseries. Nursery personnel at Hayward and Wilson State Nurseries download data for reference purposes during the planting year.

RETENTION: EVENT (Superseded) + 5 years and destroy confidential

<u>00701000.</u>	<u>ANNUAL NURSERIES COST REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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The DNR Bureau of Finance generates an annual report that documents the cost of growing, distributing and administering all nursery stock. The report is used to calculate charge back costs to applicants and to track the efficiency and effectiveness of the program over time.

Permanent Justification: The Forestry program needs to retain these reports permanently for administrative, statistical and administrative research purposes.

RETENTION: Permanent

<u>00701A00.</u>	<u>FOREST NURSERY STATISTICAL REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Since the Forest Nursery Program was initiated, in 1911, statistical reports have been generated containing summary tree and shrub distribution data. The current report, "Annual Distribution and Tree Planting Report," generated from the Forest Nursery Database, is produced annually and documents all tree and shrub distribution numbers for the year.

Permanent Justification: The Department maintains reports permanently for program administration and research purposes. DNR has ongoing requests for these records. These records provide historical background information regarding the agency's procedures and evolution. Permanent record shall be available in some format; the original record format may be digitized and then discarded.

RETENTION: Permanent

<u>00705000.</u>	<u>TREE IMPROVEMENT PROGRAM RECORDS</u>	<u>EVT+50</u>	<u>DEST</u>	<u>N</u>
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The tree improvement program develops and produces genetically superior seed for the state nurseries, in conjunction with the University of Wisconsin - Madison Dept. of Forest Ecology & Management. The program has a variety of seed orchards and genetic trials throughout the state. This record series covers maps, case files, and research data associated with seed orchards, research trials, and other tree improvement projects.

Retention Justification: Tree improvement is a long-term endeavor and requires records be maintained for a long time. It can take 25 plus years to complete one generation of breeding. A seed orchard can remain productive for 50 plus years. Records need to be maintained for future work with the plant material.

RETENTION: EVENT (Research project closed) + 50 years and transfer to WHS

<u>00705A00.</u>	<u>TREE IMPROVEMENT RESEARCH DATA</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>N</u>
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This records series consists of electronic Tree Improvement Program data. Summary data may be generated about seed orchards, genetic trials or other tree improvement projects. The Reforestation Program maintains these data files as needed for statistical purposes, to compare results and track similar types of projects.

RETENTION: EVENT (Superseded) + 6 months and destroy

RDA #	RDA Title	Retention	Disposition	PII
<u>00706000.</u>	<u>Forest Nursery Research Papers and Scientific Articles</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
	<p>This records series covers statistical and scientific research papers and articles on nursery issues that are part of the reference library maintained by the DNR Forest Geneticist & Nursery Specialist. Documents are work products of projects conducted or sponsored by the Department. Includes the following:</p> <ul style="list-style-type: none"> • Nursery Soil Research Program Research Papers: • Tree Improvement Program Research Papers <p>RETENTION: EVENT (Obsolete or superseded) + 25 years and destroy</p>			
<u>00725000.</u>	<u>FIRE REPORT SUMMARY HISTORY</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>Records in this series include continuous electronic data records for the Fire Reporting Program. Records from 1973 -1999 are currently in ASCII flat files stored at DEG InfoTech. Records from 2000-2004 forward are currently in an Access database and 2005 forward in an Oracle database which is maintained by the Fire Report File Manager (ITC) in Madison. Includes summary data to identify each reported fire. Dispatchers enter selected data from fire reports into e-forms or a web-based interface: report number, fire location reported, fire cause and acreage burned. The database, updated as Fire Reports are submitted, is a source of statistical and research information on fires in the state.</p> <p>Note: Dispatchers also may enter data specific only to their dispatch area into other databases, Excel spreadsheets or electronic files.</p> <p>Permanent Justification: DNR has ongoing requests for these records. These records provide historical fire data used for strategic planning showing trends by geographic location, date, and time. Permanent record shall be available in some format; the original record format may be digitized and then discarded.</p> <p>RETENTION: Permanent</p>			
<u>00729000.</u>	<u>PROJECT FIRE REPORTS CASE FILES CA. 1970 - FORWARD</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
	<p>This series covers Project Fire Reports/Reviews. These are reported fires where court action RENEW was taken, injuries or death occurred, or other types of project fire reviews were conducted. This includes detailed information on each project fire, including maps, final report with all review comments, decisions and actions taken.</p> <p>Retention Justification: These project files include detailed information that is not entered into the database or recorded elsewhere. Records provide information needed for ongoing forest fire program administration and to develop and review current and future policy directions. They are referenced to manage forest fires and develop training scenarios.</p> <p>RETENTION: EVT + 50 years and transfer</p>			
<u>00729A00.</u>	<u>FIRE REPORT CASE FILE 1973 - FORWARD</u>	<u>EVT+4</u>	<u>SHSW</u>	<u>Y</u>
	<p>This series includes all reports and related records needed to document each fire report incident. Since 1973, summary data from paper Fire Reports has been entered into the Fire Report Summary History Data. These records include:</p> <ul style="list-style-type: none"> • Fire Reports - No follow-up required • Fire Report Case File - Records that contain the fire report, investigation report and additional materials related to the incident from the date the fire is reported until the case is closed- resolved or moved to an enforcement action. • Railroad Fires Case Files: Records cover report and Department notification to railroad of fire occurrence and including details on the fire, including billing information. <p>RETENTION: EVENT (Report closed) = 4 years and transfer to WHS</p>			
<u>00730000.</u>	<u>FIRE REPORT LEDGERS, LOG SHEETS & INDEX MATERIALS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
	<p>Records include any lists, logs, ledgers or other index materials that dispatchers may create on a day-to-day basis to keep track of fire occurrence and to track submission of fire reports. Such records may provide a quick reference to look back for a specific fire when the exact date or fire number is unknown.</p> <p>RETENTION: EVENT (Legal proceedings concluded) + 4 years and destroy</p>			
<u>00731000.</u>	<u>DISPATCHER DAILY WORK RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
	<p>Records in this series cover all documents that make up the Dispatch Log for the day. With records in this series, dispatchers document daily operations, workload and staffing requirements. May include the following as needed:</p> <ul style="list-style-type: none"> * Dispatcher's Daily Record cover sheet for all documents that make up the packet that is the "dispatch log" for the day. * Dispatcher's Worksheet 4300-005- communications (radio, telephone, etc.) throughout the day. * Daily Staffing Record - Entries, based on the morning call-in, keep track of personnel on a daily basis. * Daily Operations Plan * Weekend standby information listing availability of partial crews . * National Weather forecasts and NFDERS Data (WIMS) may be downloaded as needed during fire season. <p>RETENTION: EVENT Completion of daily Dispatch Log) + 4 years and destroy</p>			

RDA #	RDA Title	Retention	Disposition	PII
<u>00732000.</u>	<u>FOREST FIRE CLOSURE RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
	Records in this series are orders that may originate at any Department Forestry office. Under Wis. Stat. § 26.11, the Department may close burning in particular areas because of high fire hazard conditions. Records restrict or prevent fires and smoking.			
	RETENTION: EVENT (Date of Closure Order) + 4 years and destroy			
<u>00733000.</u>	<u>SPECIAL BURNING PERMITS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
	Records in this series include burning permits issued to businesses, farmers or contractors. Only DNR fire personnel issue special permits, and they monitor compliance with permitted conditions from year-to-year.			
	RETENTION: EVENT (Date permit issued) + 2 years and destroy			
<u>00733A00.</u>	<u>BURNING PERMITS - REGULAR</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
	Records in this series include burning permits issued by DNR personnel and emergency fire wardens throughout the State. Permits allow residential landowners to burn throughout the calendar year between specified hours and under specified conditions at the county level. DNR Dispatchers collect permits for reporting statistical purposes. Data is included in the annual Forest Fire Report.			
	RETENTION: EVENT (Date permit issued) + 1 year and destroy			
<u>00734000.</u>	<u>FIRE SUPPRESSION EQUIPMENT RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
	Records in this series include forms and other materials that are generated to inventory, inspect, maintain and deploy fire suppression equipment in the State. Equipment includes vehicles, tools, chemicals and gear.			
	RETENTION: EVENT (Completion of inspection) + 4 years and destroy			
<u>00740000.</u>	<u>FIRE PROGRAM GUIDANCE DOCUMENTATION</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>N</u>
	Records in this series document the policies of the Fire Prevention & Reporting Program. May include issue papers, strategic plans, significant correspondence and e-mails interpreting or formulating policy for the program. Records are maintained by Forest Fire Operations or LE Specialists.			
	RETENTION: EVENT (Discontinued) + 10 years and transfer to WHS			
<u>00741000.</u>	<u>PRESCRIBED BURN PLANS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	Records in this series document the planned application of prescribed fire to fire-dependent communities on DNR land. A fully-approved burn plan has a lifespan of 5 years. At that point, a new plan must be created in order to apply prescribed fire to units within the burn plan. Plans are maintained within the Land Management System (LMS).			
	Reason for creation: This RDA has been created due to program re-organization (Prescribed Burn Program switched from FWP Division to Forestry Division), and during the review of program records, prescribed burn plans were identified as valuable records for the Prescribed Burn Program.			
	RETENTION: EVENT (Plan expired or superseded) + 5 years and destroy confidential			
<u>00742000.</u>	<u>PRESCRIBED BURN EVALUATIONS</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
	Records in this series document the effects of a prescribed burn on fire-dependent communities on DNR land. Evaluations record the date of treatment, persons involved, height and phenological stages of targeted plant species, and effects post-fire. Evaluations inform burn practitioners on achieving desired fire effects by altering ignition techniques, timing of phenological plant stages, and seasonality. Evaluations are completed by both the Burn Boss (BB) and Property/Habitat Manager (PM/HM). Records are maintained within the Land Management System (LMS).			
	Reason for creation: This RDA has been created due to program reorganization (Prescribed Burn Program switched from FWP Division to Forestry Division), and during the review of program records. Prescribed burn evaluations capture data on fire behavior, weather, and fire effects, and provide vital guidance on tailoring prescribed fire timing and behavior to the desired fire effects. Retaining this information long-term provides a narrative of how fire effects may change over time due to variations in vegetation and/or climate patterns.			
	Retention Justification: Prescribed burn evaluations capture data on fire behavior, weather, and fire effects, and provide vital guidance on tailoring prescribed fire timing and behavior to the desired fire effects. These records provide historical fire data; retaining this information long-term provides a narrative of how fire effects may change over time. The data would show variations in vegetation and/or climate patterns, organized by date, geographic location, and vegetation community type.			
	RETENTION: EVENT (Evaluations fully completed by BB & PM?HM + 50 years and transfer to WHS			
<u>00743000.</u>	<u>PRESCRIBED FIRE REVIEWS</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>

RDA #	RDA Title	Retention	Disposition	PII
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This series covers all reviews conducted on a singular or series of Department prescribed burns. Prescribed fire reviews are conducted if a prescribed burn escapes and leaves DNR property, if an escape causes a structure or equipment loss (regardless of ownership), if an escape exceeds 50 acres, or if there are reoccurring events of concern within a county or burn crew. These records include detailed information on each incident, including maps, final report with all review comments, decisions and actions taken.

These review files include detailed information that is not entered or recorded elsewhere. These records provide information needed for ongoing prescribed fire program administration. They are referenced to improve overall burn and contingency planning and develop training scenarios.

Reason for creation: This RDA has been created due to program reorganization (Prescribed Burn Program switched from FWP Division to Forestry Division). Prescribed Fire Reviews are similar to Wildfire Reviews; most of the time, the reason for evaluation is that the prescribed burn escaped and transitioned to a wildfire. Therefore, actions are evaluated using the same process as during a Wildfire Review. The only difference between the two is the cause of the wildfire. Because these evaluations help us with staff safety and programmatic improvement, we are advocating for the same retention period (50yrs) as Wildfire Reviews.

Retention Justification: DNR has ongoing requests for these records. Permanent record shall be available in some format; the original record format may be digitized and then discarded. These review files include detailed information that is not entered or recorded elsewhere, and provide information needed for ongoing prescribed fire program administration. They are referenced to improve overall burn and contingency planning and develop training scenarios.

RETENTION: EVENT (Closed) + 50 years and transfer to WHS

<u>00790000.</u>	<u>LANDTYPE ASSOCIATION DEVELOPMENT DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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The Landtype Association (LTA) development data provides maps and background information on Wisconsin's ecosystems for use in plans, assessments, and informational materials. This spatial land classification layer depicts ecologically significant units, based on associations of biotic and environmental factors, including climate, geomorphology, topography, soils, hydrology, and potential natural communities. This is a GIS database that is based on work of the Wisconsin Landtype Associations Team, with membership from DNR, NRCS, and USDA-Forest Service. Data and maps are periodically updated as additional information becomes available. Perpetual record, superseded by updated data.

RETENTION: EVENT (Superseded) and destroy

<u>00790A00.</u>	<u>LTA ANNUAL DATA AND MAP - ELECTRONIC</u>	<u>EVT+30</u>	<u>SHSW</u>	<u>N</u>
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Periodically, the Forest Ecology program generates a map of Wisconsin identifying ecological units as understood at that point in time. Electronic versions of maps and data used to generate them are updated over time as new information becomes available and understanding of ecological boundaries changes. Older versions are retained for historical purposes.

RETENTION: EVENT (Map generated) + 30 years and transfer to WHS

<u>00791000.</u>	<u>FOREST HABITAT TYPE CLASSIFICATION SYSTEM / FIA FIELD DATA SHEET:</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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Records in this series are habitat typing field data sheets that link to data collected for the U.S. Forest Service (USFS) Forest Inventory and Analysis (FIA) program and Wisconsin's Continuous Forest Inventory (CFI). The Department collects habitat type information at FIA and CFI inventory plots, working in cooperation with the USFS and the UW Madison Forestry Department. FIA and CFI data are maintained by the USFS and shared with states. Habitat type data are used to make site-level interpretations for forest management based on ecological potential of the land. Original paper Field Data sheets include habitat classification codes, county and plot number locator data. Habitat type data has only been collected and captured in FIA for Wisconsin. From 1993 - 1996, data on approximately 6000 Wisconsin plots was captured. Habitat type data has only been collected and captured in CFI for Wisconsin. From 2007 to present, data on approximately 3200 Wisconsin plots was captured. Data is entered into databases maintained by the USFS.

Note: Only partial data from sheets has been entered in the USFS FIA and CFI database. Sheets may also identify all plant species for a plot and include detailed information, notes and comments.

RETENTION: EVENT (Data entered from all data fields on data sheets) + 1 year and destroy

<u>00792000.</u>	<u>LANDTYPE ASSOCIATION (LTA) AND FOREST HABITAT TYPE CLASSIFICATI</u>	<u>EVT+45</u>	<u>SHSW</u>	<u>N</u>
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Records in this series include materials that document forest ecology and silviculture projects. Includes:

- * The Forest Accord, a memorandum of understanding between the DNR and other entities: U.S. Forest Service, woodland associations, lumber organizations, business groups and cooperators.
- * Narrative descriptions of ecological units (land areas).
- * Reports about concepts, process, or application of LTA's and the FHTCS.
- * Significant communications with key project information and comments from cooperators.
- * Electronic records may include Excel workbooks with data summaries extracted from the ArcView Landtype Association Development Data, maps and data tables.
- * Regions: localized materials, statewide maps.

RETENTION: EVENT (Closed, no activity) + 45 years and transfer to WHS

<u>00794000.</u>	<u>ROUTINE FIELD VISITS AND RECOMMENDATIONS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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RDA # RDA Title Retention Disposition PII

The Forest Ecologist/Silviculturists conduct field visits of sites to inventory, classify habitat classification type, make observations, or address issues. Records in this series document routine field visit activities and may include photos of forested sites, notes and observations, memos with written assessments and recommendations. Records are organized by specific site.

Note: If/when field visits identify significant issues, maintain field visit records with Forest Ecology/Silviculture Analysis Project Files (00795000).

RETENTION: EVENT (Closed, no action) + 5 years and destroy

00795000. FOREST ECOLOGY / SILVICULTURE ISSUE ANALYSIS PROJECT FILES EVT+20 SHSW N

Records in this series include forest ecology and silviculture analyses, assessments, guidelines, and reports. Issues related to forest resources may arise from internal discussions, legislative inquiries, actions of other agencies or non-governmental organizations, due to public dissent, or as a result of a field visit. The Forest Ecology and Silviculture program may conduct literature reviews, analyze information, and prepare assessments and reports about these issues. Records in paper and electronic format may include maps, literature files, draft documents with comments from contributors, e-mails and other correspondence, and final reports. Final resolution of the issue may take as long as 20 years. Records also have continuing value as the same issue may recur and require re-analysis.

RETENTION: EVENT (Closed) + 20 years and transfer to WHS

01002000. FOREST HEALTH PROTECTION MONITORING AND SURVEY PROGRAM EVT+50 SHSW Y

This program monitors the health of Wisconsin's forests through ground and aerial surveys. Point and polygon data as well as metadata including severity, host affected and organism(s) involved, date of survey and surveyor are all included with the map products. Data collected under this program is input to the Forest Health Polygon & Point databases (#1008 & 1009). Resulting records are data sheets, maps and surveys. These records are used by academia to document long-term trends in forest health issues. Records in this series may contribute to the Forest Health Program Highlights and Annual Report publications which are required by federal grant.

Note: Working papers used to compile the data sheets can be destroyed when no longer needed. The records in this series are the data sheets, maps and surveys.

Retention Justification: These records are used in long-term studies on the changes in forest health or in populations of forest pests.

RETENTION: EVENT (Survey complete) + 50 years and transfer to WHS

01003000. FOREST HEALTH PROTECTION LABORATORY DIAGNOSIS EVT+50 SHSW Y

This series includes identification information related to samples that are submitted to the forest health laboratory for diagnosis. Approximately 250 samples are processed each year. Data often includes host, diagnosis, location and contact information of forest health problem. This data may also include results from statewide or special project investigations such as diagnosis related to the cause of mortality of newly planted tree seedlings.

Note: The records in this series are the data related to the samples collected, not the samples themselves. The data is not complex and needs no special education/clarification to understand/read.

Retention Justification: These records are used in long-term studies on the changes in forest health or in populations of forest pests.

RETENTION: EVENT (Diagnoses complete) + 50 years and transfer to WHS

01004000. FOREST HEALTH PROTECTION SPECIAL INVESTIGATION DATA AND REPOR EVT+10 SHSW Y

Special investigations are conducted based on forest happenings at any point in time. These are not planned but a reaction to an issue as it occurs and 2-5 studies are often conducted to determine the cause of forest health issues. These investigations often involved the use of point and polygon data and associated metadata related to tree health, site factors, etc.

Retention Justification: These records are used in long-term studies on the changes in forest health or in populations of forest pests.

RETENTION: EVENT (Close of investigation) + 10 years and transfer to WHS

01006000. FOREST HEALTH PROTECTION SPECIAL INVESTIGATION PHOTOGRAPHS EVT+10 SHSW Y

Records in this series include photographs used as part of evidence for regular and special investigations.

RETENTION: EVENT (Close of investigation) + 10 years and transfer to WHS

01008000. FOREST HEALTH POLYGON SYSTEM DATA EVT+0/6 DEST Y

This series contains the data stored in an electronic database system that provides a spatial display of digital data. DNR forest health staff have access to a PC interface program that uses FGIS and ArcGIS to generate maps.

RETENTION: EVENT (Superseded) + 6 months and destroy confidential

Dept #: /012/ Department Name: FOREST MANAGEMENT

RDA # RDA Title Retention Disposition PII

01009000. FOREST HEALTH POINT SYSTEM DATA EVT+0/6 DEST Y

This series contains the data stored in an electronic database system that provides a spatial display of digital data. DNR forest health staff have access to a PC interface program that uses FGIS and ArcGIS to generate maps.

RETENTION: EVENT (Superseded) + 6 months and destroy confidential

01010000. FOREST HEALTH PROTECTION ZONE OF INFESTATION DECLARATION EVT+50 SHSW N

Records related to this topic include, but are not limited to, map(s) and description(s) of the area affected, injury caused by the organism and control methods.

Retention Justification: These records are used in long-term studies on the changes in forest health or in populations of forest pests.

RETENTION: EVENT (Date declared) + 50 years and transfer to WHS

Dept #: /014/ Department Name: PARKS & RECREATION

RDA # RDA Title Retention Disposition PII

00014000. PARKS AND RECREATION CONCESSION AGREEMENTS EVT+10 DEST Y

Under Wis. Stat. § 27.01(2)(f), the Department grants concessions or franchises for the furnishing of supplies or facilities and services on the state parks considered necessary for the proper comfort of the public. Records in this series cover Parks and Recreation contracts and agreements to operate food service, firewood, boat and bike rental and other types of concessions on the state site. In these cases, concessionaires contract to operate their concession business from the site. The vendor may also be required to pay the Department for concession space and/or a percentage of concession profits. Records include concession operation proposals, agreements, contracts, related contract management correspondence, evaluations and reports.

RETENTION: EVENT (End of agreement) + 10 years and destroy confidential

000139000. PROPOSED ACQUISITION SITE CASE FILE - STATE PARK, SOUTHERN FORE P PERM Y

Records in this series identify proposed park, southern forest, trail and recreational area sites, including additions to existing sites. Records may include correspondence, suggestions, proposals and recommendations from internal staff and external customers regarding potential acquisition of sites for recreational purposes. The Bureau of Parks & Recreation, Madison Central Office, maintains the official copy of these records until an action is taken. Other copies are considered convenience copies. This series covers case files for closed proposals that do not result in acquisition.

NOTE: If the proposal results in acquisition, records transfer to particular HISTORY or PLANNING case files. See RDAs 370/140 and 140A.

Permanent justification is due to potential litigation use. Those records deemed confidential may be opened in the event of a lawsuit.

RETENTION: Permanent

000140000. STATE PARK, SOUTHERN FOREST, TRAIL & RECREATIONAL AREA HISTOR EVT+10 SHSW Y

Records in this series document the history of the creation of each park or recreation area. Materials in the file may include the following:

- Park proposals and correspondence – background materials
- Park creation/dedication ceremony materials, including copies of speeches, proclamations and orders
- Master Park plans as approved by the DNR Board
- Summary park land acquisition information (official land records are in LF Real Estate)
- Parks and Recreation Agreements with the federal government, the government of neighboring states, state departments, counties, towns, scientific societies, organizations, individuals or others on any subject considered of concern and benefit to the state parks, per Wis. Stat. § 27.01(2)(d). Example: Abandoned railroad grades - WisDOT
- Annual summary reports: visitor and usage statistics, fee collection totals, donor amounts, and other annual summary data
- Summary of controversial issues, e.g., horse trails, mountain bikes, snowmobile usage, hunting at parks
- Photos and pictorial history of the park, including Park Aerial photos and property maps
- Records of transfers and closings

Retain complete history case file for as long as the Department owns the park.

RDA #	RDA Title	Retention	Disposition	PII
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If closed, transfer to Central office for incorporation into Official File

RETENTION: EVENT (Park closed or sold) +10 years and transfer to WHS

<u>00140A00.</u>	<u>STATE PARK, SOUTHERN FOREST, TRAIL & RECREATION AREA PLANNING</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Records series covers materials used to obtain NR Board approval of a park, Southern forest, trail or recreational area master plan. Documents include:

- Master plan submitted to DNR Board (green sheet version)
- Environmental impact statement (EIS) – often incorporated into Plan
- Feasibility studies related to the master plan process
- Other reports, environmental assessments generated in the process of master planning
- Summary of public comments Central office maintains a Parks Planning case file, including all records relevant to the planning process during plan development and approval and for reference during the subsequent plan review and revision process.

DNR maintains other files of master plan and environmental impact records as follows:

- ? The Bureau of Facilities and Lands maintains the official file of approved Dept. master plans and related materials, including current and previous versions of plans, maintained permanently. See RDA # 370/780.
- ? The Bureau of Integrated Science Services maintains Environmental Analysis and Review Case files. See RDA # 370/150B.

RETENTION: EVENT (Superseded by updated approved master plan for the property) + 1 year and destroy confidential

<u>00187000.</u>	<u>ICE AGE TRAIL CASE FILE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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The Ice Age Trail approximates the extent of the last continental glaciation in Wisconsin, spans 31 counties and will exceed one thousand miles upon completion. Ice Age Trail lands are owned by the Department, local units of government, the National Park Service (NPS) and the Ice Age Trail Alliance (IATA). Records in this series include detailed background on the Ice Age Trail initiative, natural history, archeological, and topographical information, background on federal and state legislation to manage the trail, Triad (DNR, NPS and IATA) continuing agreements and master plans for the overall trail, large trail segments, and corridors. May also include internal memos regarding policy, significant correspondence with the public and federal government that document the Department's evolving role in trail development.

RETENTION: Permanent. DNR has ongoing administrative and reference needs for background information contained in this records series.

<u>00189000.</u>	<u>ICE AGE NATIONAL SCIENTIFIC RESERVE CASE FILE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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The Ice Age Reserve consists of nine units across Wisconsin. The National Park Service (NPS) oversees funding for reserve projects, and units are considered the National Park System areas. The Department of Natural Resources owns and administers the majority of the areas, and currently receives federal funds for their management.

Records in this series include background information and correspondence between the Department and the federal government on the property selection process, reasons for designating each reserve unit, special geological and landscape features, supporting maps and materials, as well as agreements for the federal funds the department receives.

RETENTION: Permanent. DNR has continuing administrative need for these records to assure that units are managed per the requirements of scientific reserve designation.

<u>00201000.</u>	<u>PARKS AND RECREATION LAND AND FACILITY AGREEMENTS AND LEASES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records series covers leases and agreements related to parks and recreation lands and facilities, such as operation of historic buildings, restorations, museums or remains within the boundaries of a state park or southern forest. May include agreements for cooperative management of the property between the Department and another agency, a local unit of government or county, an organization or private individual. These agreements are generally different in nature from the types of agreements that the DNR Real Estate Section maintains.

Maintain 5 years at the property then transfer to CO for 5 years & destroy

NOTE: DNR Bureau of Land & Facilities, Real Estate Section maintains official copies of real estate agreements between the Department and landowners, per a separate RDA # 370/323.

RETENTION: EVENT (Termination of lease or agreement) + 10 years and destroy confidential

<u>00205000.</u>	<u>PARKS RESERVATIONS DATA</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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Parks has electronic data on parks reservations stored as ASCII delimited text files, dating to 1998.

Since 1998, Reserve America has been contracted to provide Parks reservation services to the public, under contract with the DNR. The company makes reservations, using Oracle, and provides the DNR with data via FTP (File Transfer Protocol) on a daily basis. The Reserve America file is updated regularly as reservations are made.

Dept #: /014/ Department Name: PARKS & RECREATION

RDA # RDA Title Retention Disposition PII

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00206000. STATE PARKS, TRAILS, SOUTHERN FORESTS AND RECREATION ATTENDANCE EVT DEST Y

Parks & Recreation collects and maintains Parks and Southern Forest attendance statistics. Data is derived from such sources as property traffic counters, trail counters, quantities of trail passes, stickers, and other revenue collection worksheets and statistics. Properties send compiled data monthly into Central Office where it is entered and maintained in an Excel spreadsheet.

Retention: EVENT (Superseded by updated data) in a continuous database

00209000. WISCONSIN STATE PARK SYSTEM (WSPS) PROMOTIONAL EVENTS CASE FILES EVT+3 SHSW Y

Records series covers detailed information about promotional events and activities for WSPS publicity and awareness.
? Events are statewide in nature.
? Examples include Parks Open House Day, Parks Sticker contest, state fair participation, and other promotional efforts.
? Included in this record series are: contracts, staff memo and supplies checklist, financial remittances, and miscellaneous photos.

RETENTION: EVENT (Close of event) + 3 years and transfer to State Historical Society

01157000. DISABLED VETERAN FREE STATE PARK / FOREST / TRAIL PASS DATA DETAIL EVT+25 DEST Y

The Veteran Free Pass is an Excel spreadsheet which contains detailed data identifying each eligible applicant. Data includes name of veteran, address, phone, date of birth and if their disability is Temporary or Permanent. Free park pass serial numbers are issued and updated.

RETENTION: EVENT (Superseded by updated customer data or free pass program ended) + 25 years and destroy confidential

01158000. DISABLED VETERAN FREE STATE PARK / FOREST / TRAIL PASS APPLICATIONS CR+1 DEST Y

This application is filled out by the veteran and approved by the County Veteran Service Officer (CVSO). The CVSO indicates the condition as Permanent /lifetime or a Temporary service related disability. Data from the paper application is entered into the Disabled Veteran Free State Park/Forest/Trail Pass Excel spreadsheet.

RETENTION: EVENT (Creation) + 1 year and destroy confidential

Dept #: /015/ Department Name: NATURAL HERITAGE CONSERVATION

RDA # RDA Title Retention Disposition PII

00800000. KARNER BLUE BUTTERFLY HABITAT CONSERVATION PLAN INCIDENTAL TAPES EVT+10 SHSW Y

This record series includes a copy of the original ITP submitted to the USFWS and subsequent permit revisions. Also includes the final Karner Blue Butterfly Habitat Conservation Plan (HCP) and Environmental Impact Statement (EIS), as approved in the DNR and by the USFWS HCP/EIS, subsequent clarifications and amendments, and related implementation and management guidelines. The permit, issued in 1999, is for the State of Wisconsin, and each partner (landowner) is considered a sub-permittee. NOTE: The final document was distributed as publication # PUBL-SS-947-00 to State document centers and depositories, including the Wisconsin Historical Society and the DNR Library. The Department also maintains a copy of the plan on the DNR Internet Web page.

RETENTION: EVENT (Close of ITP Period) + 10 years and transfer to WHS

00800A00. KARNER BLUE BUTTERFLY HCP/EIS MINUTES AND DEVELOPMENT CASE FILES EVT+10 SHSW Y

Record series includes meeting agendas, minutes, correspondence between team members on policy and scientific/biological issues & actions related to the development of the HCP/EIS, and other materials documenting meetings & actions of the HCP/EIS development team. Also includes other background information documenting the development of the Habitat Conservation Plan and EIS, public comments received, correspondence with USFWS, and relevant HCP/EIS development materials, E-mails, maps, photographs, slides.

RETENTION: EVENT (Close of ITP Period) + 10 years and transfer to WHS

00800B00. HCP/EIS DEVELOPMENT MEETING AUDIO TAPES EVT+10 DEST Y

In the process of developing the Karner Blue Butterfly HCP and EIS, the development team produced audio tapes of team meetings. These may have future research and reference value related to the species and the HCP planning process.

RETENTION: Close of ITP Period) + 10 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
<u>00801000.</u>	<u>HCP IMPLEMENTATION MEETING MINUTES</u>	<u>EVT</u>	<u>SHSW</u>	<u>Y</u>
	Records series includes agenda materials, minutes, and other materials documenting meetings & actions of various HCP-related committees and teams (Implementation Oversight Committee - IOC, Implementation Management Team - IMT, 6-month Review, HCP Team, BioTeam, Communications Team, etc. Teams are responsible for HCP implementation and oversight.			
	RETENTION: EVENT (Close of ITP period) and transfer to WHS			
<u>00802000.</u>	<u>HCP/EIS PARTNERSHIP CASE FILES</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
	Records in this series include Articles of Partnership, Partners' Species & Habitat Conservation Agreements (SHCA) and Certificates of Inclusion. Each partner agrees to terms and conditions of the HCP and the take permit. These records are legally binding articles and agreements for each individual participant in the program. Partners are entities rather than individuals. When land transfers ownership, the new owner is offered the opportunity to join the partnership and assume the agreement contracts. Partnership agreements may be extended beyond the scheduled end of the permit period (September 27., 2009).			
	RETENTION: EVENT (Close of ITP period) + 10 years and transfer to WHS			
<u>00803000.</u>	<u>HCP/ LANDS INCLUDED AND PARTNER INFORMATION DATABASE</u>	<u>EVT+100</u>	<u>DEST</u>	<u>Y</u>
	The bureau maintains an Access database and enters data needed to administer the ITP and implement the HCP. Data includes contact information for HCP partners, participants, and interested parties (names, addresses, phone numbers, emails); data about partner lands cover under the ITP monitoring data, and land management data. For approved partners, data from the applications log below is moved to this database when the partner process is completed. Maintain cumulative data for the length of the ITP + 100 years. Partial or summary data may also be transferred to the Bureau of Endangered Resources in the future. Migrate to new systems as needed to reserve data.			
	RETENTION: EVENT (Close of permit) + 100 years and destroy			
<u>00803A00.</u>	<u>HCP/PARTNER APPLICATIONS LOG</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
	Records series is a log of Karner Blue Butterfly HCP partner applications in process and related correspondence. The bureau uses an Excel spreadsheet to log pending applications through the processes of filing Articles of Partnership, SHCA and other required documents. After all approvals, data from this log moves to the HCP Lands Included and Partner Information Database above. For inactive applications, retain for 2 years after last entry date and delete.			
	RETENTION: EVENT (Inactive date - last action) + 2 years and destroy			
<u>00804000.</u>	<u>HCP EFFECTIVENESS MONITORING TRAINING CENTER MASTER COURSE M</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	Records in this series cover a master set of training materials used to conduct yearly in Karner Blue butterfly HCP monitoring protocol training for partners and participants. Monitoring Program Training materials must meet specific standards and are used to "certify" participants to perform monitoring.			
	RETENTION: EVENT (Materials revised, superseded or program end) and destroy			
<u>00804A00.</u>	<u>HCP CERTIFIED EFFECTIVENESS MONITORING PARTICIPANTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Records in this series document that partners and participants have attended and successfully completed required training in HCP monitoring protocol, as a condition of the federal incidental take permit. The EM Program conducts yearly training. This records series may include rosters of participants and other relevant to document that individuals have received specific monitoring training and are "certified" to perform monitoring.			
	RETENTION: EVENT (Close of permit period) + 3 years and destroy			
<u>00805000.</u>	<u>PARTICIPANT HCP EFFECTIVENESS MONITORING RECORDS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	The HCP requires partners to survey their lands annually for Karner Blue butterflies and their habitat. This records series includes monitoring assignments for partners, Excel spreadsheets, monitoring data sheets, maps, and yearly monitoring summary reports. Selected monitoring summary information is also entered into the HCP Lands Included and Partner Information Database and used for the HCP Annual Reports submitted to the USFWS.			
	RETENTION: EVENT (Close of permit period) 3 years and destroy			
<u>00806000.</u>	<u>HCP ANNUAL REPORT SUBMITTED TO USFWS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	This records series is the summary report of land management, conservation, land transfer, and education & outreach activities on lands covered under the HCP for each calendar year, compiled by the Department from data and reports submitted by partners.			
	RETENTION: Permanent			
<u>00806A00.</u>	<u>PARTNER INDIVIDUAL HCP ANNUAL REPORTS</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>

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Records in this series include required individual partner annual reports documenting their land management, conservation, land transfer, and education & outreach activities on lands covered under the HCP for each calendar year. The DNR distributes report forms, assists partners and compiles data. Individual partner report data is entered into the HCP Lands Included and Partner Information Database from these source documents.

RETENTION: EVENT (Close of ITP period) + 3 years and transfer to WHS

<u>00807000.</u>	<u>HCP AUDIT PROGRAM</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series includes partner audit reports and related materials. The DNR audits HCP partners on a 3-year cycle and forwards audit reports to the USFWS. The audit program is intended to assist partners in their documentation of HCP-related management activities and to ensure compliance with the HCP and individual partner SHCAs.

Maintain two audit cycles.

RETENTION: EVENT (Close of ITP period) + 3 years and destroy

<u>00808000.</u>	<u>HCP OPERATIONAL CORRESPONDENCE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series includes correspondence between the DNR, USFWS, partners, and interested parties regarding meeting logistics, report reminders, transmittal cover sheets, operations, and general "housekeeping" matters. Also includes low value e-mail messages.

RETENTION: EVENT (Obsolete or not needed) and destroy

<u>00809000.</u>	<u>HCP EDUCATION AND OUTREACH PROGRAM</u>	<u>EVT</u>	<u>SHSW</u>	<u>Y</u>
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THE DNR, USFWS, and CHP Partners conduct education and outreach activities as part of the implementation of the HCP. This program is responsible for encouraging, coordinating, and conducting O & E activities related to the Karner Blue butterfly and HCP implementation. Record series includes reports, brochures, pamphlets, fact sheets, displays, presentations, cards, pins, posters, web pages, and other informational material.

RETENTION: EVENT (Superseded or obsolete) and transfer to WHS

<u>00809A00.</u>	<u>HCP PUBLICATIONS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Under s. 35.84, Wis. Stats., the following types Karner Blue butterfly official state publications are distributed through the state Reference & Loan Library system to document centers and depositories (55 libraries, including the Wisconsin Historical Society).

Butterflies & Roadways	PUB-FR-180 2001
WI Wildcards Wild Lupine	PUB-FR-218j 2002
WI Wildcards Karner Blue	PUB-FR-237 2003

RETENTION: EVENT (Superseded) and destroy

<u>01100000.</u>	<u>NATURAL HERITAGE INVENTORY (NHI) CONTRACTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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The Wisconsin Natural Heritage Inventory (NHI) program is part of an international network of NHI programs, established by The Nature Conservancy and currently coordinated by NatureServe, an international non-profit organization. NHI state programs follow a standard methodology to collect, characterize and manage data, so that it is possible to combine data at various scales to address local, state, regional, and national issues.

This records series covers NHI Contracts between the Wisconsin DNR and contractors who are responsible for collecting inventory data in Wisconsin. Includes:

- Signed contract between DNR and contractor detailing terms and conditions of the contract to provide NHI services.
- Contract amendments, additions and extensions
- Contract monitoring materials, such as status reports, correspondence outlining contractual issues and concerns, etc.

RETENTION: EVENT (Contract termination) + 10 years and destroy

<u>01101000.</u>	<u>NATURAL HERITAGE INVENTORY (NHI) PROJECT FILES</u>	<u>EVT+15</u>	<u>SHSW</u>	<u>Y</u>
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For species and natural communities that are tracked by the Wisconsin NHI Program, the Department locates and documents occurrences of rare species and natural communities, including state and federal endangered and threatened species around the state.

This records series covers project files for NHI inventories and includes:

- *Computations and analysis materials,
- *Background information and significant correspondence relating to the project
- *Reports and recommendations.

The NHI database houses inventory results and data contributed by cooperating scientists and gleaned from museums, herbaria, and

RDA #	RDA Title	Retention	Disposition	PII
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published reports. NHI data are exempt from Wisconsin's Open Records Law due to the vulnerability of rare species to collection and destruction. For data shared with outside groups the DNR must use a data license agreement, and generally charges for the data as specified in Wisconsin Statutes. Generalized versions of the NHI database are available for public use, and accessible to all DNR staff through the NHI Portal, the official method of delivering NHI data for screening.

RETENTION: EVENT (Project close) + 15 years and transfer to WHS

<u>01102000.</u>	<u>NHI ORACLE DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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WDNR Bureau of Endangered Resources maintains Wisconsin-specific NHI data, using an Oracle application that was developed for all states to track particular rare species and natural communities, including state and federal endangered and threatened species around the state. Source data comes from NHI Data Inventory files, NHI project reports and community-based monitoring sources.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

Permanent Justification: DNR maintains continuous inventory data about endangered resources occurrences and species to use for analytical, research, comparison purposes. Data are potentially useful for the determination of species status, distribution, and long-term population trends.

RETENTION: Permanent

<u>01103000.</u>	<u>NATURAL HERITAGE INVENTORY (NHI) INVENTORY DATA INVENTORY FILE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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This records series covers raw inventory data that the Wisconsin DNR collects to develop a working list of statewide data for submittal to the NHI database. WDNR personnel, contractors or external partners complete data sheets to identify species occurrences, locations and relevant biological information. The Bureau solicits data using forms that are available via the DNR web site as the preferred method for providing NHI data elements. Files include:

- "General Manual Files" including raw data associated with element occurrences in the NHI database - paper files.
- "Element Manual Files." Includes location and scientific information on species that may or may not be on the NHI working list.
- MS Access files: Selected, relevant species and inventory data is entered into an MS Access database and used for analytical and research purposes. Data in these files may be uploaded to Wisconsin NHI Oracle database as needed.

The bureau maintains information in paper format if/when the particular species, habitat or community is not part of the NHI program at the time.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

Permanent Justification: DNR maintains continuous inventory data about endangered resources occurrences and species to use for analytical, research, comparison purposes. Data are potentially useful for the determination of species status, distribution, and long-term population trends. The NHI data must be kept permanently because the Oracle system is not a substitute for the original documentation. From when the program first started in the early 1980s until 2003, data were not represented in Oracle as accurate as they were on paper maps. If we had discarded the data during that 23-year time frame (actually longer because we still have not caught up with refining all the Oracle data) we would have lost detailed information on Federal and State Endangered and Threatened species.

RETENTION: Permanent

<u>01104000.</u>	<u>NATURAL HERITAGE INVENTORY (NHI) TRAINING</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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The DNR provides training for staff and partners to collect data about species and natural communities that are tracked by the Wisconsin NHI program. All NHI programs uses a standard methodology to collect, characterize, and manage data, making it possible to combine data at various scales to address local, state, regional, and national issues.

This records series covers materials used to train DNR personnel and partners to collect data and follow the standardized methodology for inventory and analysis purposes. Training records include the following types of materials:

- Training registration email for each person
- Completed training worksheets and case studies, either in hard copy or scanned and sent to NHI Training Coordinator via email
- Training completion certificates created in MS Publisher for each person and sent to them via email as a PDF. Email records related to NHI training are saved in a large personal folder in the NHI training coordinator's email. PDF training completion certificates are saved in the NHI training folder on the ERIR network drive (I:) as well as hard copies stapled to the person's completed training materials.
- Miscellaneous materials associated with training such as printing orders
- Spreadsheets, currently MS Excel, saved in NHI training folder on network drive
- Database tracking trainees, currently in MS Access. Data may be hard copy, MS Excel
- A training registration email for each person
- Miscellaneous materials associated with training such as printing orders (hard copy).

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

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RETENTION: EVENT (Training materials superseded or obsolete) + 5 years and destroy

<u>01105000.</u>	<u>AQUATIC AND TERRESTRIAL RESOURCES INVENTORY (ATRI) MASTER DAT</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Wisconsin Statute 23.09(2) (km) directed the Department of Natural Resources to "develop" an information system to acquire, integrate and disseminate information concerning inventories and data decision makers to access and integrate environmental information. ATRI is an Oracle database system for decision makers to access and integrate environmental information. ATRI data includes information collected from the following projects:

- Forest Raptors Project: species accounts, calls, on-line observation form and links to forest raptor projects in Wisconsin and western Great Lakes
- Dragonflies and Damselflies: Wisconsin's Odonata Survey contains 160+ species accounts of Wisconsin's dragonflies and damselflies and includes behavioral and habitat notes, identification pointers, distribution maps (county checklists), state and global status, and flight period charts.
- Wisconsin Bat Monitoring Program
- Wisconsin Frog and Toad Survey: citizen-based monitoring program coordinated by the Wisconsin Department of Natural Resources. The primary purpose of the WFTS is to determine the status, distribution, and long-term population trends of Wisconsin's 13 frog species.
- Small Mammal Inventory:
- Wisconsin Mussel Monitoring Program: Over half of Wisconsin's 51 native mussel species are listed as species of greatest conservation need, or the DNR needs information on where they currently occur.
- Wisconsin Bird Monitoring Program: Includes Western Great Lakes Owl Survey, and Wisconsin's Marshbird, Nightjar, and Red-shouldered Hawk Surveys. Also identifies available links to many other bird monitoring sites.

ATRI also contains flora, fungi and plant community data; aquatic biological and chemical information.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

Permanent Justification: DNR maintains continuous inventory data in the ATRI system to use for analytical, research, comparison purposes. Data are potentially useful for the determination of species status, distribution, and long-term population trends.

RETENTION: Permanent

<u>01105A00.</u>	<u>INVASIVE PLANT OCCURRENCE AND DISTRIBUTION DATA</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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The Bureau of Endangered Resources collects and maintains data about invasive plants separately from the ATRI system. Invasive plant data is collected through the completion of form 1700-056, Wisconsin's Invasive Plants of the Future. The data collected includes: dates collected/observed, collectors name, address, phone and email, plant name if known and description, and specific locations and dates of removal or occurrence. Data is entered into a MS Excel worksheet which is uploaded onto the National Institute of Invasive Species Science database (www.niiss.org).

A DNR ecologist is responsible for coordinating efforts between the Bureau of Endangered Resources and the Wisconsin State Herbarium to upload collected information into the national database, which is currently maintained through Colorado State University.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Close of project or initiative) + 5 years and destroy

<u>01106000.</u>	<u>CITIZEN BASED MONITORING COORDINATION PARTNERSHIP PROGRAM RE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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The DNR coordinates efforts with the independent Citizen Based Monitoring Network of Wisconsin to improve the effectiveness of natural resources monitoring. The Network maintains a comprehensive list of the citizen monitoring programs and available resources, grouped according to topic. Since 2004, Wisconsin's "Citizen-Based Monitoring Partnership Program" has sought to expand citizen participation in natural resource monitoring in Wisconsin by providing funding and assistance to high priority projects. Qualifying topics include monitoring of aquatic and terrestrial species, natural communities and environmental components such as water, soils and air. Applicants submit proposal requests directly to the Program.

A DNR ecologist is responsible for coordination of efforts with the network, and DNR personnel may review project requests and provide project coordination.

This records series covers DNR's records related to Citizen-Based Monitoring Partnership Program projects and initiative, including grants.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Close of project or initiative) + 5 years and destroy

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>01107000.</u>	<u>ER REVIEWS - ENDANGERED RESOURCE PROJECT REVIEW RECORDS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>The Endangered Resources Review Program helps customers and partners comply with endangered species laws. The program works with landowners, businesses, communities, and other customers and partners to consider the potential impacts of land development, planning and management projects on rare and sensitive species and habitats very early in the project planning process. ER Reviews consist of the following records:</p> <ul style="list-style-type: none"> *Review request application form *Maps regarding project area *Surveys of endangered resources may be recommended or required for particular projects *ER review status reports, comments, communications between WDNR and other parties involved in the ER review *Formal letter provides information from Wisconsin's Natural Heritage Inventory (NHI) database and other sources on rare plants and animals (including state and federally-listed species), high quality natural communities, and other endangered resources that may be impacted by the proposed project. <p>RETENTION: EVENT (Letter review decision date) + 10 years and destroy</p>			
<u>01108000.</u>	<u>INCIDENTAL TAKE PERMITS/AGREEMENTS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
	<p>As required by the Wisconsin Endangered Species Act, the DNR is allowed to authorize the taking, exportation, and/or possession of listed plants and/or animal species via an Endangered and Threatened (E/T) Species Permit for preservation purposes. Records in this series document the process to request and Incidental Take Permit or Incidental Take Authorization:</p> <ul style="list-style-type: none"> * Applicant communications with DNR personnel. In nearly all cases, applications should first communicate and consult with the DNR * Applicant request for Endangered Resources (ER) Review of the proposed project to provide information needed to comply with Wisconsin's Endangered Species Law and other laws and regulations protecting endangered resources * DNR notification of ER reviews results * Applicant request for an Incidental Take Permit or Incidental Take Authorization for the project to proceed based on DNR notification <p>RETENTION: EVENT (Date of denial decision or permit expiration) + 20 years and destroy</p>			
<u>01109000.</u>	<u>GRASSLAND AND SAVANNA MANAGEMENT AUTHORIZATION & REPORT</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>DNR staff request Grassland and Savanna Management authorization in order to conduct grassland and savanna management that may result in the incidental taking of certain endangered and threatened species. These species are dependent upon management actions to set back natural succession; take is minimized by following specific protocols for each species. All DNR staff who conducts work under the Grassland and Savanna Management Protocols and Authorization are required to submit an annual summary report documenting the management they conducted where endangered or threatened species were determined to be present.</p> <p>If listed species are not known to be present, documentation of screening is included in the project folder instead.</p> <p>RETENTION: EVENT (Report final date) + 10 years and destroy</p>			
<u>01110000.</u>	<u>ENDANGERED/THREATENED (E/T) SPECIES PERMIT RECORD</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>As required by the Wisconsin Endangered Species Act, the DNR is allowed to authorize the taking, exportation, and/or possession of listed plants and/or animal species via an Endangered and Threatened (E/T) Species Permit for preservation and conservation purposes. Annual permits expire on January 31.</p> <p>Records in this series include applications and requests for E/T permits, correspondence and review materials, and E/T permit decisions, Includes records of permits approved by DNR and those requests denied.</p> <p>RETENTION: EVENT (Permit denial or expiration date) + 10 years and destroy</p>			
<u>01111000.</u>	<u>FALCONRY PERMITS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>NR 18, Wis. Adm. Code specifies provisions for the purpose of practicing falconry. WDNR issues these permits to individuals. Permits expire every three years.</p> <p>This records series covers falconry applications, permit materials and related permit records of individuals requesting falconry permits.</p> <p>RETENTION: EVENT (Permit denial or expiration date) + 10 years and destroy</p>			
<u>01112000.</u>	<u>NATURAL AREAS PRESERVATION COUNCIL AGENDAS AND MEETING MINU</u>	<u>EVT+20</u>	<u>SHSW</u>	<u>Y</u>
	<p>Records in this series are agendas, meeting minutes and attachments covering the activities of the Natural Areas Preservation Council. The Council advises the Department on issues related to the establishment, protection, and management of natural areas and the State Natural Areas Program, including:</p> <ul style="list-style-type: none"> * Recommendations concerning the suitability of natural areas for purchase, offered as donations or as dedications for inclusion in the state natural areas system. * Recommendations to appropriate federal agencies or national scientific organizations of natural areas in the state that are considered worthy to be listed as natural areas or scientific areas of national importance. * Advice on matters pertaining to acquisition, development, utilization, maintenance and withdrawal of state natural areas, including the extent of multiple use to allow on state natural areas that are a part of a state park, state forest, public hunting ground or similar areas 			

under state ownership or control.

* An official publication listing research natural and other natural areas in the state natural area system available for research and the teaching of conservation and natural history, and recommendations to publish studies made in connection with these areas.

The Council is composed of 11 members with backgrounds in conservation biology, botany, geology, zoology, and ecology. The Council meets quarterly. Duties are defined in §§ 15.347(4) and 23.26 Wis. Stats.

RETENTION: EVENT (Meeting date) + 20 years and transfer to WHS

<u>01113000.</u>	<u>STATE NATURAL AREAS (SNA) INVENTORY & MANAGEMENT RECORDS</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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The Ecosystem and Diversity Conservation Section is charged to protect and manage State Natural Areas, emphasizing a natural community-based approach to conservation and management. State Natural Areas (SNAs) protect outstanding examples of Wisconsin's native landscape of natural communities, significant geological formations and archeological sites.

Wisconsin's 609 State Natural Areas encompass over 330,000 acres. They are valuable for research and educational use, the preservation of genetic and biological diversity, and for providing benchmarks for determining the impact of use on managed lands. They also provide some of the last refuges for rare plants and animals. More than 90% of the plants and 75% of the animals on Wisconsin's list of endangered and threatened species are protected on SNAs. DNR personnel work with partners to develop a plan for each SNA, target management goals and objectives and monitor the property over time.

This records series covers SNA Program records for each of the 609 sites in the SNA system and includes:

* Background information about natural areas, including studies, baseline data for acquisition, SNA public comments and communications

*Legal dedications of State Natural Areas

*SNA maps, management plans including habitat conservation planning, regional landscape management, etc. and species control issues.

*Species lists, ecological evaluations, and other data pertaining to SNA site quality.

Each SNA file is updated as necessary and maintained to document DNR protection and management of the area over time.

RETENTION: EVENT (Termination of DNR responsibility for the SNA) + 5 years and transfer to WHS

<u>01114000.</u>	<u>STATE NATURAL AREA (SNA) COLLECTION / RESEARCH PERMIT</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Individuals may collect samples for scientific and research purposes in State Natural Resources as specified in §§23.29 and 23.29, Wis. Stats. and NR 45.12(a), Wis. Adm. Code. Individuals are required to comply with § 29.17, Wis. Adm. Code concerning Scientific Collectors Permits or with § 27.012, Wis. Stats., concerning field archeology.

Individuals are required to:

- Conduct research in a way that preserves the area's features and avoid attracting attention. They may be required to limit the number and kind of species collected.
- Use collection for scientific or educational purposes and not for private or commercial profit.
- Notify land manager(s) before beginning activities.
- Obtain permits from DNR and/or U.S. Fish and Wildlife Service if the collection involves archeological materials, plant or animal species that are protected or regulated by state or federal law.
- Provide the DNR and Natural Areas Preservation Council with copies or reprints of theses or publications derived from research.
- Carry the approved permit while conducting the research.

This records series covers the permit application, all relevant permit correspondence, permit compliance documentation, and copies of theses or publications from the SNA collection/research permit.

RETENTION: EVENT (Permit termination date) + 10 years & destroy

<u>01115000.</u>	<u>LANDOWNER INCENTIVE PROGRAM (LIP) INFORMATION DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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The landowner Incentive Program (LIP) provides cost-share grants to individuals and organizations to create and manage habitat on private lands for rare or declining species. Annual grants are awarded based on set criteria, including number of rare species that will benefit from the work and a determination that the project will complement other restoration work occurring in the same area. These are considered Development Grants (see RDA 370/00420). The Bureau of Endangered Resources maintains data, currently in MS Access that contains the following LIP inventory and status data related to program initiatives:

- LIP inventory data identifying current and previous LIP properties
- LIP landowner contacts, including program applicants and LIP grant recipients,
- Project ranking for LIP projects submitted
- Species records for each LIP property. This data is ultimately incorporated into NHI database.

Note: The DNR Bureau of Community Financial Assistance maintains grant-specific LIP funding, payment and other data in the Community Assistance Oracle System (CAOS).

Confidential Note: Sensitive NHI species information is exempt from access provisions in Wisconsin's Open records law, § 19.35, Wis. Stats. The WDNR may refuse to release information or data for any purpose which is not authorized per § 23.27(3)(b), Wis. Stats.

RETENTION: EVENT (Agreement terminated) + 10 years and destroy

Dept #: /015/ Department Name: NATURAL HERITAGE CONSERVATION

RDA # RDA Title Retention Disposition PII

01116000. BUTLER'S GARTERSNAKE EASEMENTS EVT+10 SHSW Y

In Wisconsin, the Butler's gartersnake (*Thamnophis butleri*), a State threatened species, is limited to the greater Milwaukee area, where threats to its long term survival are habitat loss and hybridization with a related species, the plains gartersnake (*T. radix*). Some projects impacting Butler's gartersnakes may complete a Butler's gartersnake easement. The easement process typically includes the creation of a conservation plan and often a snake survey and/or habitat assessment.

This records series covers the following materials:

- Copy of conservation easement - filed with appropriate County Register of Deeds.
- All associated materials (survey report, habitat assessment, conservation plan) referenced in the easement.

RETENTION: EVENT (Easement terminated, amended or superseded by updated easement) + 10 years and transfer to WHS

01117000. NATIVE PLANT SEED PROGRAM CR+30 DEST Y

The Bureau of Endangered Resources coordinates the Department's native plant seed program to supply the DNR, Department of Transportation, and other state agencies with native plant seed for restoration and maintenance of native plants and natural landscapes.

Records in this series include:

- Seed inventory and distribution materials
- Seed correspondence with DNR, DOT and other state agencies including the Wisconsin Crop Improvement Association.

RETENTION: EVENT (Creation) + 30 years and destroy

01118000. SEED COLLECTING ON DNR LANDS PERMITS & REPORTS EVT+30 DEST Y

Records in this series are applications, permit denials and approvals for external entities to collect seeds on DNR lands, parks, forests, natural, fishery and wildlife areas.

Records include species and quantities collected by organizations, agencies and private nurseries. Documentation is important regarding certification of seed by the Wisconsin Crop Improvement Association for private nurseries.

RETENTION: EVENT (Permit termination) + 30 years and destroy

01119000. ENDANGERED RESOURCES DATA SHARING AGREEMENTS EVT+10 DEST Y

NHI data and certain other data related to endangered resources are exempt from Wisconsin's Open Records Law due to the vulnerability of rare species to collection and destruction. However, within the DNR and with outside groups, there is an active sharing program.

For outside groups, DNR uses a data license agreement, and, in most cases, DNR must charge for the data as specified in Wisconsin Statutes. Generalized versions of the database are available for everyone's use through an Online Database. Natural Heritage Inventory data are available to all DNR staff through an NHI portal, the Department's official method of delivering NHI data for screening.

This records series covers data sharing agreement records between the DNR, NHI and external individuals and groups to obtain data that is not generally available under Wisconsin's Open Records Law. Records identify users, terms and conditions for use, and fees assessed. The complete license agreement file consists of:

- License agreement hard copy paper file
- Digital file in the Data Sharing Folder on the ERIR network drive. Items in the digital folder are a variety of formats including MS Word, PDF, GIS shapefiles, etc. They are treated as parts of the complete file.
- Database, currently in MS Access, on the ERIR network drive for license agreements
- MS Excel spreadsheet to track the current status of all of the agreements.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:

<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Agreement termination) + 10 years and destroy

Dept #: /016/ Department Name: FISHERIES MANAGEMENT

RDA # RDA Title Retention Disposition PII

01196000. FISH HEALTH FORMS AND DOCUMENTS EVT+3 SHSW N

Records and data used to analyze both wild and stocked fish as well as documents relating to laboratory results, Fish Health Certifications, case files, prescriptions, veterinary feed directives, and bacteriology samples. These documents are managed by the two fisheries veterinarians.

RDA #	RDA Title	Retention	Disposition	PII
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Retention Justification: It is necessary to retain these records as they are used to inform fish health veterinarians when making management decisions. There are legal obligations to maintain Fish Health Certificates, prescriptions, and veterinary feed directives, these requirements are established by the FDA. Wis. Stat. §. 89.068(3) states that veterinarians must maintain prescription records for a minimum of 3 years. This RDA ensures that records are kept for the minimum amount of time they are required.

RETENTION: EVENT (Date of creation) + transfer to WHS

<u>01197000.</u>	<u>FISH PERMITTING AND FORMS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include, but are not limited to, permits and licenses issued for wild bait harvest permits, fishing tournament applications and results, scientific collectors permits, natural water body permit applications and requirement reviews, streambank easements, pond stocking self-certification, live fish transport and possession documents, and private stocking forms. Many of these permits and licenses received on various applications forms, must be renewed annually.

RETENTION: EVENT (license or permit expires) + 5 years and destrol confidential

<u>01198000.</u>	<u>FISH HABITAT AND SURVEY DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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This includes, but is not limited to, the information currently held in our fish database and encompasses all field survey and habitat data currently held by the bureau. This is updated regularly.

Permanent Justification: Wis. Stat. §. 23.09(2)(m) states that the DNR must develop a program for classifying streams in order to make management recommendations to municipalities and other state agencies. It is necessary to maintain historic records to make informed management decisions.

RETENTION: PERMANENT

<u>01199000.</u>	<u>TROUT STREAM CLASSIFICATIONS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Documents relating to the classification of the state's cool water trout streams. They are currently stored in the WATERS database; paper copy records are maintained by the Trout Management Specialist position in the bureau of Fisheries Management.

Permanent Justification: Wis. Stat. §. 23.09(2)(m) states that the DNR must develop a program for classifying streams in order to make management recommendations to municipalities and other state agencies. It is necessary to maintain historic records to make informed management decisions.

RETENTION: PERMANENT

<u>01200000.</u>	<u>FISH CONTAINMENT MONITORING PROGRAM - DATA REPORTS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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Records in this series include reports summarizing fish contaminant data with conclusions as to trends, sources, concentrations, and contaminants.

This includes summary reports of data not included in the fish contaminant system, raw data or summary reports of fish contaminant data from Wisconsin but conducted by consultants, researchers, or other governmental entities and may include reports from contractors. In more recent years, electronic data may be included.

RETENTION: EVENT (Date of creation) + 20 years and destroy

<u>01201000.</u>	<u>FISH CONTAINMENT MONITORING AND CONSUMPTION ADVISORY PROGRA</u>	<u>EVT+25</u>	<u>SHSW</u>	<u>N</u>
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This includes background documentation, meeting notes, and conclusions about fish advisory and fish contaminant program policy. Protocols for advisories would be included as well as protocols for the fish contaminant monitoring program. Early material is only available as paper documents.

RETENTION: EVENT (Date of creation) + 25 years and transfer to WHS

<u>01202000.</u>	<u>TREATY FORMS AND DOCUMENTS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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Records in this series includes, but is not limited to, Tribal Working Group (TWG) meeting documents, creel interviews and count forms, population estimates and fall raw data sheets. These documents are specific to the Fisheries Management program and are necessary for continued operations of the program.

RETENTION: EVENT (Date of creation) + 10 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
<u>00320000.</u>	<u>REAL ESTATE PROPERTY MASTER CASE FILE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>Records series includes master case file documenting departmental acquisition, fee and easement of properties and real estate land sales. Series includes, but is not limited, to the following critical documents for each property:</p> <ul style="list-style-type: none"> - Land Transaction Summary - Land Transaction Record stamped by Secretary of State, or other documentation of acquisition funding source. - Deed-stamped by Secretary of State (or other copy if stamped deed not found) - Significant Appraisal Review & Final Appraisal Documents - Final Option to purchase - Final Title Insurance documents - Negotiation Documents: identifying significant property negotiations, including notes and correspondence relating to terms & conditions of purchase - Property maps, surveys - Land record description, analysis and property clarification materials as needed. <p>Records relating to acquisition of state lands are also filed with the Office of the Secretary of State and with appropriate county Register of Deeds office.**Property Acquisition Process file negotiations records are treated as confidential during the negotiation contract and review process until the transaction Option is closed and final legal documents are recorded with the county officials and payment to the seller has been made and signed by the grantor. They are not confidential thereafter.</p> <p>RETENTION: Permanent (Real estate section central office) or EVENT (Close) + 5 years and destroy (Region copies)</p>			
<u>00321000.</u>	<u>PROPERTY ACQUISITION PROCESS CASE FILE RECORDS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
	<p>Series covers incidental documents related to acquiring or selling property. This group of documents may have long-term value to protect the interests of all parties in case of adverse possession against the state, § 893.29, Wis. Stats., or other action concerning real estate, § 893.33, Wis. Stats. Records in this series include, but are not limited to the following:</p> <ul style="list-style-type: none"> - Relocation agreements relating to owners or tenants - Governor's letters-signed approval to acquire and narrative justification letter - Just compensation <p>**Property Acquisition Process file negotiations records are treated as confidential during the negotiation contract and review process until the transaction option is closed and final legal documents are recorded with county officials and payment to the seller has been made and signed by the grantor. They are not confidential thereafter.</p> <p>RETENTION: EVENT (Close of acquisition) + 20 years (Real Estate Section, Madison office) or 5 years (region copies) and destroy</p>			
<u>00322000.</u>	<u>PROPERTY STATUS AND PAYMENT PROCESS CASE FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	<p>Records series includes documents and correspondence related to status of the acquisition process. Status documents are generally superseded by final documents that are identified in records series #370/320 and #370/321. Other records in this series document the process of paying for property acquired or leased including receipt of payment copies for DNR property sold. Note: The DNR Bureau of Finance maintains the official copy for fiscal & accounting records. This series covers incidental correspondence related to projects status, including:</p> <ul style="list-style-type: none"> - Status tracking Card -through 1993 - Pre-title (pre-TI) documents if completely superseded by final title insurance. - Disbursal process materials, copies of vouchers and financial forms. <p>Retention is based on the acquisition close date. It is the date that DNR issues final payment for acquisition of property or the date DNR credits receipt for final payment of property sold.</p> <p>RETENTION: EVENT (Close of acquisition) + 5 years and destroy</p>			
<u>00323000.</u>	<u>LEASE AGREEMENT CASE FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
	<p>Records series covers records related to lease agreements between the department and property and property owners to lease rights to land. Leases are generally short-term, up to 10 years, and some have options to renew. Records document the terms and conditions of the lease or agreement. Lease documents need to be retained for the duration of the lease agreement and to protect the interests of all parties in case of action concerning real estate, § 893.33, Wis. Stats. Records in this series, include, but are not limited to the following:</p> <ul style="list-style-type: none"> - Final lease or agreement - Negotiation process documents - Maps, plans, surveys <p>RETENTION: EVENT (Lease termination) and destroy (Real estate section, Madison) or + 5 years (Region copies) and destroy</p>			
<u>00324000.</u>	<u>CONVEYED EASEMENTS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>Records series covers conveyed easements that the department grants to utility companies, telephone companies or for other types of access across DNR owned lands.</p> <p>RETENTION: Permanent (Real estate section, Madison office) or EVENT (Easement expired or obsolete) and destroy</p>			
<u>00325000.</u>	<u>LAND RECORDS SYSTEM (LRS) MASTER PROPERTY DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>

RDA #	RDA Title	Retention	Disposition	PII
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Record series covers the Land Records System (LRS) electronic database system. This system is a relational database with a menu-driven program that provides master data related to land purchased. The program, written in an Oracle database, is integrated with a series ASP.NET web application to provide access to DNR staff in central office, region and area offices. Subsystems of the LRS include P&P (Pending and Proposed) Acquisition data and PILT (Payment in Lieu of Taxes).

Data elements for each property include:
 -Grantor name;
 -Property and file data
 -Parcel data
 -Cost/checkbook data

Data are maintained perpetually on the LRS system.
 RETENTION: Permanent (Real Estate Section, Madison)

<u>00326000.</u>	<u>PENDING & PROPOSED (P&P) LAND ACQUISITION DATA</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Records series covers electronic data maintained in the Pending & Proposed (P&P) subsystem of the LRS. P&P is used to track a proposed acquisition through the process of negotiation, provide information about the status of the acquisition process and document that all necessary procedures are followed. Data elements included in this subsystem include detail tracking of the acquisition process, including management review. DNR Secretary. Board and Governor's approvals. Following acquisition, selected data about the property is transferred to the LRS database.

RETENTION: EVENT (Superseded by updated information) + 1 year and destroy (Real Estate Section, Madison)

<u>00327000.</u>	<u>PILT (PAYMENT IN LIEU OF TAXES) DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Payment in lieu of taxes (PILT) is an electronic subsystem of the Land Records System (LRS). PILT is used to track payments of state aid to Wisconsin municipalities where department lands are owned in fee title. The payments are required in lieu of taxes under §§ 70.113 and 70.114, Wis. Stats. The PILT subsystem is an Oracle database containing data regarding lands owned and payments that the dept. Makes in lieu of taxes to certain municipalities. The Department of Revenue (DOR) transfers aid payment formula data through EDI transfer to the department. This data is merged with departmental data to determine amounts of payments and to issue checks to municipalities.

Data elements in the PILT subsystem include: parcel cost, purchase price, adjusted purchase price, level of assessment and mill rate. The Bureau of Property Management issues an annual "Report on Payment in Lieu of Taxes," using data in this system.

RETENTION: EVENT (Life of PILT program) and destroy (Real Estate Section, Madison)

<u>00328000.</u>	<u>LRS, P&P, PILT AD HOC OUTPUT REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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As needed, the bureau generates output reports from Land Records System (LRS) and its subsystems: Pending & Proposed Land Acquisition System (P&P), and Payment in Lieu of Taxes System (PILT). Reports may be generated to meet administrative needs, provide information to DNR management or the Board, or to respond to requests for information. At least annually, bureau staff incorporates selected summary data into real estate reports. Thus, the ad hoc reports have short-term value and should be maintained until superseded or no longer needed and destroyed.

RETENTION: EVENT (Superseded or no longer needed) & destroy (Real Estate Section, Madison)

<u>00329000.</u>	<u>REAL ESTATE ANNUAL REPORTS & PUBLICATIONS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series includes reports and publications generated on a regular basis to provide information about the department's real estate program. Reports often include summary and/or detail data from the LRS system or subsystems. Includes, but are not limited to:

- "Report on Payment in Lieu of Real Estate Taxes," annual report required by the DNR board.
- "Annual Real Estate Report," required by the DNR Board.

Agencies are required to distribute reports that are considered publications to state document centers and depositories, per § 35.83, Wis. Stats., including 3 copies to the State Historical Society Library.

The Real Estate Section retains copies of reports to meet internal, administrative needs until they are updated, superseded, or no longer needed. Also distribute per § 35.83, Wis. Stats. And provide 3 copies to SHS Library.

RETENTION: EVENT (Superseded or no longer needed) and destroy (Real Estate Section, Madison)

<u>00330000.</u>	<u>PILT FINANCIAL INPUT DOCUMENTS</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
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Records series includes paper forms received from municipalities identifying mill rates for tax assessments. Also includes correspondence between municipalities and the department regarding PILT payments.

The Department of Revenue (DOR) also provides two databases for municipalities that receive PILT payments through electronic transfer to data.

RETENTION: EVENT (Creation) and destroy (Real Estate Section, Madison) or EVENT (Superseded or no longer needed) and destroy (Region copies)

Dept #: /018/ Department Name: FACILITIES & LANDS (REAL ESTATE)

RDA # RDA Title Retention Disposition PII

00332000. **GIS (GRAPHICAL INFORMATION SYSTEM) LAND ACQUISITION DATA** **P** **PERM** **N**

Records series includes electronic Geographical Information System (GIS) data used to generate DNR land ownership and acquisition layers and maps. Digitized land acquisition and ownership data provides a spatial illustration of DNR information that is used for management decision-making. GIS data is maintained in ArcInfo software on the DNRSDE (Spatial Database Engine). GIS data elements include parcel data. Data is managed by the land Records System File Manager.

RETENTION: Permanent (Real Estate Section, Madison office)

00333000. **GIS LAND ACQUISITION OUTPUTS** **EVT** **DEST** **N**

Records series includes outputs from the Land Records Geographical Information system (GIS). Outputs include but are not limited to maps of owned lands. Maps are generated as needed for presentations, publications or for management planning and analysis.

RETENTION: EVENT (Superseded or not needed and destroy)

Dept #: /022/ Department Name: AIR MANAGEMENT

RDA # RDA Title Retention Disposition PII

00300000. **AIR MANAGEMENT MONITORING SITE OPERATIONAL FORMS AND DATA** **CR+6** **DEST** **N**

Records in this series originate at the monitoring site and detail operation of each site and performance of each analyzer used to measure air quality/conditions. These records work in conjunction with one another and, taken as a unit, document the operating performance of the monitoring site as a whole. These records are primarily managed by the logger data acquisition system including, but are not limited to, the following:

- Data observations
- Missing Data Records
- Calibration E-forms

All verification and calibration records are retained in e-forms on the site logger and site logger backups and key information including data points, standards used, and instrument serial number are transmitted and stored on the central data system. Once site logger databases are backed up to a backup repository and confirmed, the site logger copy is considered a working copy and may be destroyed.

Paper records of site activities and quality control (QC) may also fall under this category including, but not limited to the following:

- Quality Control Check Forms
- Sample Records
- Site Sample Logs
- Standard Certifications

Paper records are sent to the Data/QA group where critical portions of these records are manually entered into the central data repository or used for review processes. Once paper documents are digitized and confirmed, they may be destroyed. Paper forms: maintained for 6 years from event or until digitization is confirmed.

RETENTION: EVENT (Creation) + 6 years and destroy

00301000. **SITE AND EQUIPMENT LOGBOOKS AND SUMMARY DATA** **EVT+6** **DEST** **N**

Records in this series document the operation of a site or the use of a specific instrument including, but not limited to, the following:

- Site Log Book - stored at site until shutdown, then sent to central office
- Instrument Log Book - stored with instrument until taken out of service, then sent to central office

RETENTION: EVENT (Site shutdown or instrument out of service) + 6 years and destroy

00302000. **MONITORING SITE HISTORICAL RECORDS** **EVT+10** **DEST** **N**

Records in this series detail the history of a site including metadata about the site, types of data collected and agreements in place, including but not limited to:

- AQS Site Forms and AQS Monitor Forms
- Site Historical Summaries
- Official Site Photos
- Access Agreements I Contracts

RDA #	RDA Title	Retention	Disposition	PII
	<ul style="list-style-type: none"> • Memorandums of Understanding I Agreement • Site Waivers <p>RETENTION: EVENT (Site shutdown) + 10 years and destroy</p>			
00305000.	<u>CENTRALIZED DATA SYSTEM MONITORING DATA - RAW DATA</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
	<p>Records series includes primary and backup data flows that transmit data from analyzer, to logger and to central data repository. These records are for backup purposes that are unnecessary once the related parameter data certification processing has occurred the following year. These records may include, but are not limited to the following:</p> <ul style="list-style-type: none"> • Analyzer on board memory downloads • Transmittal records <p>RETENTION: EVENT (Information added to data repository) + 2 years and destroy</p>			
00306000.	<u>CENTRALIZED DATA SYSTEM MONITORING DATA - QUALITY ASSURED DAT</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
	<p>Record series includes data retrieved and quality assured in the centralized data management system in electronic format. Raw data is maintained in the database along with quality assured finalized data, Where appropriate, quality assured data is submitted to EPA's Air Quality System (AQS) as a final repository that is maintained by EPA per federal regulations and requirements, Data can be backed up and stored on a variety of media as necessary. Records may include, but are not limited to the following:</p> <ul style="list-style-type: none"> • Active WISARDS data • Active WAMDAS data • Archived copies of data no longer contained in the active data <ul style="list-style-type: none"> - Electronic copies stored on servers - Electronic copies stored on local media <p>Archived copies of databases will be maintained so that data may be viewed or restored for viewing as necessary until Retention/Disposition timeframe is met.</p> <p>Previous systems utilized for this purpose are beyond the retention time defined in this RDA and associated data may be disposed</p> <p>RETENTION: EVENT (Data certification) + 10 years and destroy</p>			
00307000.	<u>CENTRALIZED DATA SYSTEM RAW DATA REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
	<p>Records series includes raw data reports, including Daily Summary Reports describing air quality in a particular area. Reports are generated from the centralized data management system and used for reference and review purposes. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Morning Reports and associated attachments 0 Air Quality Index (AQI) Index reports 0 Calibration Summary reports 0 Data Observation reports <p>RETENTION: EVENT (Date of report) + 3 years and destroy</p>			
00308000.	<u>CENTRALIZED DATA SYSTEM MONTHLY EDITED QA DATA REPORTS</u>	<u>CR+6</u>	<u>DEST</u>	<u>N</u>
	<p>Records series consists of edited Monthly Data reports that are generated as final quality-assured outputs from the computer system. Reports provide historical reference of yearly air quality data by site. New procedures allow data to be reviewed, distributed and stored electronically rather than utilizing paper printouts. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Printouts of monthly data observations • Monthly data review summary reports • Associated documentation created during the review process • Site audit forms/reports • Data Certification Letters <p>RETENTION: EVENT (Data certification) + 6 years and destroy</p>			
01120000.	<u>ARDN SYSTEM (ASBESTOS RENOVATION AND DEMOLITION NOTIFICATION)</u>	<u>FIS+7</u>	<u>DEST</u>	<u>N</u>
	<p>Asbestos Notification Information This record series consists of asbestos notification information submitted by potential air contaminant sources regarding renovation or demolition projects which may emit asbestos. Notifications are submitted by owners and operators and by any person whose action could cause the emission of asbestos to ambient air. Wis. Admin. Code ch. NR 447.07 requires each owner or operator of a demolition or renovation activity to provide the Department with notice of intention to demolish or renovate. Information contained on the notifications includes: type of notifications; type of project; dates of asbestos removal; dates of demolition/renovation; abatement or demolition contractor; facility owner information; facility information; waste transporter; waste disposal site; amount of asbestos; description of asbestos material. This record series also consists of billing records associated with notifications including, but not limited to, the following: invoices, past due correspondence, and statements.</p>			

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Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stats. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 1 year and then destroyed.

RETENTION: EVENT (Fiscal) + 7 years and destroy

<u>01121000.</u>	<u>ASBESTOS NOTIFICATIONS - PAPER NOTIFICATION FORMS</u>	<u>FIS+1</u>	<u>DEST</u>	<u>Y</u>
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Although most notification data is now submitted to ARDN electronically, a relatively small number of notifications are still submitted on paper forms. This record series contains those forms. Data from these forms is entered into ARDN by Air Management staff.

The paper forms are filed by notification number. The paper files are maintained for one full fiscal year after the notification is entered into ARDN (e.g., a notification entered into ARDN in FY '13 would be retained until the end of FY '14 and then be destroyed), in case a question comes up as to whether the information in ARDN matches what was on the paper form.

Retain until the end of the fiscal year following entry of the notification into ARDN.

RETENTION: EVENT (Fiscal) + 1 year and destroy

<u>01169000.</u>	<u>AIR PERMIT APPLICATION</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Record series covers information, submitted, created and utilized, in any manner or format, in the application process for receiving or being exempt from air pollution control permits. Examples included, but not limited to, forms, applicant calculations, and correspondence.

File closed definitions:

- Construction permit actions - File is closed when a construction permit issued is revoked or revised and neither the permit nor permit review is no longer being referenced in subsequent permit or statement of basis for a subsequent permit; or coverage under a construction permit is withdrawn.

- Operation permit actions - File is closed when an operation permit issued is revoked, revised, or expired without application shield and neither the permit nor permit review is no longer being referenced in subsequent permit or statement of basis for a subsequent permit; or coverage under an operation permit is withdrawn.

- Facility is permanently closed - File is closed when facility has ceased all operations regulated by the air management program and the following administrative functions have occurred: all permits have been revoked or coverage under a permit is withdrawn, all compliance and enforcement actions have been completed and all outstanding bills have been paid or written off.

Scan paper and upload electronic version to system; retain all media.

RETENTION: EVENT (File closed) + 5 years and destroy confidential

<u>01170000.</u>	<u>AIR PERMIT REVIEW</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Record series covers information, submitted, created and utilized, in any manner or format, in the review process for receiving or being exempt from air pollution control permits.

Examples included, but not limited to, forms, modeling request memo, library letter, and proof of publication.

File closed definitions:

- Construction permit actions - File is closed when a construction permit issued is revoked or revised and neither the permit nor permit review is no longer being referenced in subsequent permit or statement of basis for a subsequent permit; or coverage under a construction permit is withdrawn.

- Operation permit actions - File is closed when an operation permit issued is revoked, revised, or expired without application shield and neither the permit nor permit review is no longer being referenced in subsequent permit or statement of basis for a subsequent permit; or coverage under an operation permit is withdrawn.

- Facility is permanently closed - File is closed when facility has ceased all operations regulated by the air management program and the following administrative functions have occurred: all permits have been revoked or coverage under a permit is withdrawn, all compliance and enforcement actions have been completed and all outstanding bills have been paid or written off.

Scan paper and upload electronic version to system; destroy paper upon permit determination.

RETENTION: EVENT (File closed) + 5 years and destroy

<u>01171000.</u>	<u>AIR PERMIT DETERMINATION</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Record series covers information, submitted, created and utilized, in any manner or format, in the determination process for receiving or being exempt from air pollution control permits.

Examples included, but not limited to, preliminary determinations, draft and final permits, public comments and response, petitions, responses, decisions and settlements.

File closed definitions:

- Construction permit actions - File is closed when a construction permit issued is revoked or revised and neither the permit nor permit review is no longer being referenced in subsequent permit or statement of basis for a subsequent permit; or coverage under a construction permit is withdrawn.

- Operation permit actions - File is closed when an operation permit issued is revoked, revised, or expired without application shield and neither the permit nor permit review is no longer being referenced in subsequent permit or statement of basis for a subsequent permit; or coverage under an operation permit is withdrawn.

- Facility is permanently closed - File is closed when facility has ceased all operations regulated by the air management program and the following administrative functions have occurred: all permits have been revoked or coverage under a permit is withdrawn, all compliance and enforcement actions have been completed and all outstanding bills have been paid or written off.

Scan paper and upload electronic version to system; retain all media

RETENTION: EVENT (File closed) + 5 years and destroy

<u>01172000.</u>	<u>AIR PERMIT BILLING</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Record series covers information, submitted, created and utilized, in any manner or format, in the billing process for receiving or being exempt from air pollution control permits.

Event definition:

- Payment in full - File is closed when full payment has been received or balance no longer due (e.g., written off, application withdrawn).

- Facility is permanently closed - File is closed when facility has ceased all operations regulated by the air management program and the following administrative functions have occurred: all permits have been revoked or coverage under a permit is withdrawn, all compliance and enforcement actions have been completed and all outstanding bills have been paid or written off.

Scan paper and upload electronic version to system; destroy paper upon verification of successful upload to system.

RETENTION: EVENT (Payment in full or facility permanently closed) + 5 years and destroy

<u>01173000.</u>	<u>AIR PERMIT CONTESTED CASE AND JUDICIAL REVIEW DOCUMENTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series covers all "challenge documents" related to contested case hearings and judicial reviews of Air permits, including but not limited to:

- Briefing documents (motions, responses, and replies);
- Discovery documents (interrogatories, requests for admissions and requests for production of documents, affidavits, deposition transcripts, etc.);
- Appeals hearing documents (exhibits, transcripts, etc.);
- Correspondence (settlement communications, scheduling, etc.).

If there are original documents being kept with the appeals hearing documents, namely as exhibits, those documents must be added to the facility file and treated as the RDA requires.

Event definition:

A case is closed when there has been a final judgment or a settlement agreement, and is not being reviewed or appealed.

RETENTION: EVENT (Case closed) + 10 years and destroy confidential

<u>01177000.</u>	<u>WIS. STAT. § 285.81(4) CHALLENGE AND JUDICIAL REVIEW DOCUMENTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series covers all "challenge documents" related to determinations made by the department and subject to review under Wis. Stat. §§ 285.81, 227.42, or 227.52. This category does not include department initiated enforcement actions. Examples include, but are not limited to:

- Briefing documents (motions, responses, and replies);
- Discovery documents (interrogatories, requests for admissions and requests for production of documents, affidavits, deposition transcripts, etc.);
- Appeals hearing documents (exhibits, transcripts, etc.); and
- Correspondence (settlement communications, scheduling, etc.).

If there are original documents being kept with the appeals hearing documents, namely as exhibits, those documents must be added to the facility file and treated as the RDA requires.

Event definition:

Case closed - A case is closed when there has been a final judgment or a settlement agreement and is not being reviewed or appealed.

RDA #	RDA Title	Retention	Disposition	PII
RETENTION: EVENT (Case closed) + 10 years and destroy confidential				
<u>01178000.</u>	<u>AIR MANAGEMENT COMPLAINTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
<p>Record series covers information submitted, created, and utilized, in any manner or format, in the course of receiving or responding to complaints. Examples include, but are not limited to the following:</p> <ul style="list-style-type: none"> * Complaint logs; and * Complaint/inquiry reports. <p>Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 30 days and then confidentially destroyed.</p> <p>RETENTION: EVENT (Receipt or creation) + 10 years and destroy confidential</p>				
<u>01179000.</u>	<u>AIR MANAGEMENT COMPLIANCE DEMONSTRATION</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>Record series covers information submitted, created and utilized, in any manner or format, in the request for and the demonstration of compliance wit air program permits and regulations.</p> <p>This record series consists of demonstrations that may be reoccurring or need to be maintained for shorter periods of time. Includes, but not limited to, the following:</p> <ul style="list-style-type: none"> - Pressure vacuum requests; - Stack test documents; - Reoccurring Reports (including monitoring reports, National Emission Standards for Hazardous Air Pollutants (NESHAP) reports, New Source Performance Standard (NSPS) reports, Reasonably Available Control Technology (RACT) industrial wastewater and petroleum refinery quarterly reports, Relative Accuracy Test Audit (RATA) reports, Continuous Emissions Monitoring (CEMs) quarterly excess emissions, fuel sampling) - Wis. Admin. Code § NR 439.096 combustion optimization report - Wis. Admin. Code ch. NR 428 Nitrogen Oxides (NOx) emission averaging plans and quarterly reports; - State acid rain reports and approvals; - Title V compliance plan progress; - Permit deviation notifications; and - Compliance Certifications. <p>Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 5 years and then confidentially destroyed.</p> <p>RETENTION: EVENT (receipt or creation) + 5 years then destroy</p>				
<u>01180000.</u>	<u>COMPLIANCE DEMONSTRATION</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>These records were identified during agency review. Record series covers information submitted, created and utilized, in any manner or format, in the request for and the demonstration of compliance with air program permits and regulations.</p> <p>This record series consists of demonstrations that may be reoccurring or need to be maintained for shorter periods of time. Includes, but not limited to, the following:</p> <ul style="list-style-type: none"> - Pressure vacuum requests; - Stack test documents; - Reoccurring Reports(including Monitoring reports, national Emission Standards for Hazardous Air Pollutants (NESHAP) reports, New Source Performance Standard (NSPS) reports, Reasonably Available Control Technology (RACT) industrial wastewater and petroleum refinery quarterly reports, Relative Accuracy Test Audit (RATA) reports, Continuous Emissions Monitoring (CEMs) quarterly excess emissions, fuel sampling) - Wis. Admin. Code§ NRC 439.096 combustion optimization report - Wis. Admin. Code chi. NRC 428 Nitrogen Oxides (NO) emission averaging plans and quarterly reports; - State acid rain reports and approvals; - Title V compliance plan progress; - Permit deviation notifications; and - Compliance Certifications. <p>Reason for creation: These records were identified during agency review.</p> <p>RETENTION: EVENT (Receipt or creation) + 10 years and destroy</p>				
<u>01181000.</u>	<u>AIR MANAGEMENT APPLICABILITY DETERMINATION</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>

RDA #	RDA Title	Retention	Disposition	PII
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Record series covers information submitted, created and utilized, in any manner or format, in the request for, and the determination of, compliance with air program permits and regulations.

This record series consists of determinations that may be one-time events or need to be maintained for the life of the source. Includes, but not limited to, the following:

- Wis. Admin. Code ch. NR 436 exceptions;
- Control device tax certifications;
- Wis. Admin. Code ch. NR 428 petitions for alternative requirements and utility reliability waivers;
- Wis. Admin. Code § NR 431.07 alternative opacity limits;
- Ambient air monitoring;
- CEM installation and Quality Assurance/Quality Control (QA/QC) plans and alternative compliance demonstration requests;
- Wis. Admin. Code ch. NR 433 Best Available Retrofit Technology (BART) emissions trading;
- Plans (including Odor control plans; Malfunction prevention & abatement plans, Sulfur dioxide plans, Compliance assurance monitoring plans, Fugitive dust plans, Startup shutdown malfunction plans, Wis. Admin. Code § NR 439.096 Combustion Optimization);
- Notifications (including Commence construction notifications, Construction initial operation notification, Portable source relocations, Wis. Admin. Code ch. NR 407 Registration Operation Permit (ROP) Additional Applicable Requirement and Permit Flexibility Notifications);
- Wis. Admin. Code chs. NR 405 & 408 PAL Monitoring System Shutdown notifications and semiannual reports;
- Wis. Admin. Code ch. NR 408 emission reductions;
- RACT notifications and schedules; and
- Wis. Admin. Code ch. NR 428 NOx Emission Averaging Program.

Includes administrative orders or consent orders.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 5 years and then confidentially destroyed.

Event definition - if revised keep superseded version for 10 years.
File closed - file is closed when facility has ceased all operations

RETENTION: EVENT (determination revised or file closed) + 10 years then destroy

<u>01182000.</u>	<u>APPLICABILITY DETERMINATION</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Record series covers information submitted, created and utilized, in any manner or format, in the request for and the determination of compliance with air program permits and regulations.

This record series consists of determinations that may be one-time events or need to be maintained for the life of the source. Includes, but not limited to, the following:

- Wis. Admin. Code ch. NR 436 exceptions;
- Control device tax certifications;
- Wis. Admin. Code ch. NR 428 petitions for alternative requirements and utility reliability waivers;
- Wis. Admin. Code§ NR 431.07 alternative opacity limits;
- Ambient air monitoring;
- CEM installation and Quality Assurance/Quality Control (QA/QC) plans and alternative compliance demonstration requests;
- Wis. Admin. Code ch. NR 433 Best Available Retrofit Technology (BART) emissions trading;
- Plans (including Odor control plans, Malfunction prevention & abatement plans, Sulfur dioxide plans, Compliance assurance monitoring plans, Fugitive dust plans, Startup shutdown malfunction plans, Wis. Admin. Code § NR 439.096 Combustion Optimization);
- Notifications (including Commence construction notifications, Construction initial operation notification, Portable source relocations, Wis. Admin. Code ch. NR 407 Registration Operation Permit (ROP) Additional Applicable Requirement and Permit Flexibility Notifications)
- Wis. Admin. Code chs. NR 405 & 408 PAL Monitoring System Shutdown notifications and semiannual reports;
- Wis. Admin. Code ch. NR 408 emission reductions;
- RACT notifications and schedules; and
- Wis. Admin. Code ch. NR 428 NOx Emission Averaging Program.

Includes administrative orders or consent orders.

Event definition:

- File closed - File is closed when facility has ceased all operations regulated by the air management program and the following administrative functions have occurred: all permits have been revoked or coverage under a permit is withdrawn, all compliance and enforcement actions have been completed and all outstanding bills have been paid or written off.

Reason for creation: These records were identified during agency review.

RETENTION: EVENT (File closed or superseded with revised version) + 10 years and destroy

<u>01183000.</u>	<u>AIR MANAGEMENT INSPECTION DOCUMENTS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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RDA #	RDA Title	Retention	Disposition	PII
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This record series consists of evaluations that result in an official determination of source compliance that must be maintained up to 20 years from creation for the purpose of establishing a compliance history that is required pursuant to a Memorandum of Understanding with the Environmental Protection Agency. Includes, but not limited to, the following:

- Full compliance evaluations;
- Partial compliance evaluations;
- Associated letters of culpability; and
- Facility closure.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 5 years and then destroyed.

RETENTION: EVENT (receipt or creation) + 20 years and destroy

<u>01184000.</u>	<u>INSPECTION DOCUMENTS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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This record series consists of evaluations that result in an official determination of source compliance that must be maintained beyond 10 years from creation for the purpose of establishing a compliance history. Includes, but not limited to, the following: full compliance evaluations, partial compliance evaluations, associated letters of culpability and facility closure.

Reason for creation: These records were identified during agency review.

RETENTION: EVENT (Receipt or creation) + 20 years then destroy

<u>01185000.</u>	<u>ENFORCEMENT (AIR FILES)</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Record series covers information submitted, created, and utilized, in any manner or format, in the course of investigating, reviewing, or pursuing follow-up stepped enforcement actions for air program permits and regulations. Examples include, but are not limited to:

- Letters of Inquiry and associated documents;
- Letters of Noncompliance and associated documents;
- Notices of Violation and associated documents;
- Referral package documents, including all evidentiary files;
- Evidentiary files include but are not limited to complaints, reports, inspections, test results; and
- Department of Justice (DOJ) or court documents associated with the case. This includes court documents associated with any appeals of the decision.

Event definition:

File Closed -A file is closed when there has been a final judgment or a settlement agreement and is not being reviewed or appealed.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 5 years and then confidentially destroyed.

RETENTION: EVENT (file closed) + 10 years and destroy confidentially

<u>01186000.</u>	<u>ENFORCEMENT (AIR FILES)</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Record series covers information submitted, created, and utilized, in any manner or format, in the course of investigating, reviewing, or pursuing follow-up stepped enforcement actions for air program permits and regulations. Examples include, but are not limited to:

- Letters of Inquiry and associated documents;
- Letters of Noncompliance and associated documents;
- Notices of Violation and associated documents;
- Referral package documents, including all evidentiary files;
- Evidentiary files include but are not limited to complaints, reports, inspections, test results and
- Department of Justice (DOJ) or court documents associated with the case. This includes court documents associated with any appeals of the decision.

Event definition:

File closed - File is closed when facility has ceased all operations regulated by the air management program and the following administrative functions have occurred, all permits have been revoked or coverage under a permit is withdrawn, all compliance and enforcement actions have been completed and all outstanding bills have been paid or written off.

Reason for creation: These records were identified during agency review.

RETENTION: EVENT (File closed) + 10 years and destroy confidential

<u>01187000.</u>	<u>ENVIRONMENTAL PROTECTION AGENCY (EPA) COMPLIANCE AND ENFORC</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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All documents related to EPA compliance and enforcement including, but not limited to: .

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- Letters of Inquiry;
- Findings of Violation and associated documents;
- Notices of Violation and associated documents;
- Administrative Penalty Orders; and
- EPA approvals and waivers (NESHAP/NSPS/Maximum Achievable Control Technology (MACT)/RACT/Acid Rain/CEM/Test Method).

Event definition:

File Closed - A case is closed when there has been a final judgment or a settlement agreement and is not being reviewed or appealed.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 5 years and then confidentially destroyed.

RETENTION: EVENT (file closed, upon verification) + 5 years and destroy

01188000. ENVIRONMENTAL PROTECTION AGENCY (EPA) COMPLIANCE AND ENFORC EVT+10 DEST N

All documents related to EPA compliance and enforcement including, but not limited to:

- Letters of Inquiry
- Findings of Violation and associated documents
- Notices of Violation and associated documents
- Administrative Penalty Orders
- EPA approvals and waivers (NESHAP/NSPS/Maximum Achievable Control Technology(MACT)/RACT/Acid Rain/CEM/Test Method)

Event definition:

File closed - File is closed when facility has ceased all operations regulated by the air management program and the following administrative functions have occurred, all permits have been revoked or coverage under a permit is withdrawn, all compliance and enforcement actions have been completed and all outstanding bills have been paid or written off.

Reason for creation: These records were identified during agency review.

RETENTION: EVENT (File closed) + 10 years and destroy

01189000. PREVENTION OF SIGNIFICANT DETERIORATION (PSD) SOURCE OBLIGATION EVT+15 DEST N

Record-series covers information, submitted, created and utilized, in any manner or format, in the determination of compliance with PSD Source Obligation requirements.

Includes the following: PSD Source Obligation records.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 30 days and then destroyed.

RETENTION: EVENT (Receipt or creation) + 15 years and destroy

01190000. ANNUAL WIS. ADMIN. CODE CH NR 438 INVENTORIES EVT+20 DEST N

Record series includes, but is not limited to, information submitted, created and utilized, in any manner or format, in the maintaining of emissions inventory data reported by stationary sources.

Event definition: Statewide Attainment--Statewide attainment is attainment of all state and national ambient air quality standards statewide.

RETENTION: EVENT (Statewide attainment) + 20 years and destroy

Dept #: /026/ Department Name: WASTE & MATERIAL MANAGEMENT

RDA # RDA Title Retention Disposition PII

00070000. SOLID WASTE PLANNING, FEASIBILITY & SPECIAL STUDY PROJECT CR+20 DEST Y

This record series consists of documents relating to the solid waste planning, feasibility study & special study project grants program authorized under NR 186.01, Wis. Adm. Code, and ss. 144.781-144.784 & 144.797-144.799, Wis. Stats. Documents include:

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---Grant applications
 ---Approval letters
 ---Final reports
 ---Expenditure documentation
 ---Audit reports
 ---Invoices, vouchers, and remittances
 ---Pertinent correspondence

Internal agency procedures:

These files will go to the Records Center immediately following audit. In some cases, very useful and well-done plans and final reports may be retained in the office for 5 years before being sent to the Records Center. However, their total life will be 20 years like other documents in the series.

N.B.: Because this program is discontinued, there will be no further accumulation. Total accumulation equals 5 cubic feet.

Provided: state audit

RETENTION: EVENT (Creation) + 20 years and destroy

<u>00071000.</u>	<u>PREREMEDIAL SUPERFUND PROGRAM - PAPER</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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Information pertaining to the Preremedial Superfund Program as required by Public Law 99-499, 96-510, CERCLA, and superfund amendments and reauthorizations act of 1986 (SARA). Information consists of:

---Preliminary Assessments
 ---Site Inspection
 ----Workplan
 ----Sample data
 ----Site inspection report
 ----Recommendation
 ---Listing Site Inspection
 ----Workplan
 ----Sample data
 ----Listing site inspection report
 ----Recommendation
 ---Hazard Rank Score (HRS)
 ----Scoring Package

This record series supplies for sites classified as " No Further Remedial Action Planned " or ones with HRS scores less than 28.5.

Provided: Microfilmed

RETENTION: EVENT (Creation) + 1 year and destroy

<u>00071A00.</u>	<u>PREREMEDIAL SUPERFUND PROGRAM - MICROFILM</u>	<u>CR+80</u>	<u>DEST</u>
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Information pertaining to the Preremedial Superfund Program as required by Public Law 99-499, 96-510, CERCLA, and superfund amendments and reauthorizations act of 1986 (SARA). Information consists of:

---Preliminary Assessments
 ---Site Inspection
 ----Workplan
 ----Sample data
 ----Site inspection report
 ----Recommendation
 ---Listing Site Inspection
 ----Workplan
 ----Sample data
 ----Listing site inspection report
 ----Recommendation
 ---Hazard Rank Score (HRS)
 ----Scoring Package

This record series supplies for sites classified as " No Further Remedial Action Planned " or ones with HRS scores less than 28.5.

Provided: Closed/Terminated/Death

RETENTION: EVENT (Creation) + 80 years and destroy

<u>00072A00.</u>	<u>COLLECTION & TRANSPORTATION SERVICES CASE FILES</u>	<u>CR+20</u>	<u>DEST</u>
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Information pertaining to collection and transportation agencies to operate under the provisions of Chapter 144, Wis. Stats., Chapter NR 500, Wis. Adm. Code (non-hazardous waste), or Chapter NR 181, Wis. Adm code (hazardous waste). Information consists of:

---Solid Waste Facility License Application, DNR form 4400-88, or its equivalent (except for current licensing period),

RDA # RDA Title Retention Disposition PII

---Solid Waste Facility License Renewal application (except for current Licensing period),

---Solid Waste Facility Operation License, DNR form 4400-8, or its Equivalent (except for current licensing period),

---Status Change Request, DNR form 4400-77, or its equivalent,

---Pertinent Correspondence

RETENTION: EVENT (Creation) + 20 years and destroy

00079A00. **HAZARDOUS WASTE COUNTY FILE - MICROFILM** **CR+80** **DEST** **Y**

Contains Information Concerning Specific Counties And Includes:

- Hazardous Waste Non-Activity Forms,
- Hazardous Waste Report Forms,
- Inspection Forms (Including Plant Surveys,
- Waste Analysis Reports,
- Responses To Dnr Post Card Survey,
- Correspondence Regarding:
 - Inquiries By Companies/Facilities About Waste Generation And Hazardous Waste Determination,
 - Specific Facilities Which May Potentially Generate Or Handle Hazardous Waste,
 - Unlicensed Disposal Sites,
 - One Time Disposals,
 - Proposed Solid Waste Sites,
 - General Correspondence Not Related To Any Other Case.

Provided:Closed/Terminated/Death

Amendment- Discontinue Series. Records Were Never Microfilmed. 08/30/93 S.H.

00082A00. **COUNTY SOLID WASTE MANAGEMENT PLANS - MICROFILM** **EVT+20** **DEST** **Y**

Information pertaining to County Solid Waste Management planning which consists of:

- Solid Waste Plan Reports
- Site Selection Studies
- Solid Waste Management Studies
- Pertinent correspondence concerning county solid waste management planning
- Newspaper clippings

Discontinue Series: Records Were Never Microfilmed.

RETENTION: EVENT (Closed/terminated/death) + 20 years and destroy

00086A00. **SOLID & HAZARDOUS WASTE MAPS, BLUEPRINTS & PLAN SHEETS** **CR+110** **DEST**

Information pertaining to solid and hazardous waste facilities. Information includes:

- Blueprints,
- Maps,
- Plans,

These items will be microfilmed to reduce storage space required and ease filing burden in our offices.

RETENTION: EVENT (Created) + 110 years and destroy

00086B00. **SOLID & HAZARDOUS WASTE BLUEPRINTS, MAPS, PLANS - PAPER** **CR+2** **DEST**

Information pertaining to solid and hazardous waste facilities. Information includes:

- Blueprints
- Maps
- Plans

Destroy provided microfilmed and after verification of film. Some blueprints, maps and plans will be retained on paper media if the microfilm is difficult to decipher. See 86A.

RETENTION: EVENT (Creation) + 2 years and destroy

00087A00. **HAZARDOUS WASTE REVIEW PROGRAM - MICROFILM** **CR+80** **DEST**

RDA #	RDA Title	Retention	Disposition	PII
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Information pertaining to the Hazardous Waste Review Program required by NR 181. Information includes:

- Pertinent correspondence,
- Feasibility studies,
- Plans of Operations,
- Plan approvals/denials,
- Inspection reports
- Applications and licenses,
- Orders and referrals

This record series relates to facilities generating, treating, storing or disposing of hazardous waste. The threat of future groundwater contamination requires these records be maintained throughout the active life of the facility which is unknown and beyond. At the end of the 80-year period, it will be apparent whether contamination has occurred. If not, the records can be destroyed.

RETENTION: EVENT (Creation) + 80 years and destroy

<u>00160000.</u>	<u>SITE ASSESSMENTS UNDERGROUND STORAGE TANKS</u>	<u>EVT+15</u>	<u>DEST</u>	<u>N</u>
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This records series is used to determine whether a leaking underground storage tank (LUST) exists; and consists of site assessment reports that indicate that the tank did not leak. These reports have retention value for the DNR with regard to contamination investigations and for the public with regard to environmental audits for property transactions.

Information is collected per 40 CFR Part 280.72 (Code of Federal Regulations) and chs. ILHR 10.732, 10.734 and 10.805, Wisconsin Administrative Code, which requires completion of a site assessment whenever certain types of underground storage tanks are closed or undergo a change-in-service. Draft Chapter NR 706, Wisconsin Administrative Code (proposed) calls for copies to be submitted to DNR, and the agency has received such reports since 1988.

This series covers only assessments indicating that the tank did not leak. The file is closed when assessment is completed, and the tank is removed.

RETENTION: EVENT (Closed) + 15 years and destroy

<u>00164A00.</u>	<u>HAZARDOUS WASTE - PCB CASE FILES</u>	<u>CR+80</u>	<u>DEST</u>	<u>N</u>
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- Pertinent Correspondence;
- PCB Management Checklist for Compliance with NR 157;
- Inspection Reports;
- Electrical Utilities PCB Usage Questionnaire;
- Sample Data;
- Reports regarding management of PCB's and Handling of Wastes;
- Site Summaries;
- Maps and Diagrams;
- Referrals, Orders, Affidavits and Complaints.

Information is collected per Wis. Stats. 144.79

RETENTION: EVENT (Closed/terminated/death) + 80 years and destroy

<u>00457000.</u>	<u>SHWIMS Detail Data</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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For solid waste: Records in this series include site information, facility information--such as location, address, SPA #, type of facility, ownership information, contact information -licensing information and infectious waste. If there are changes or updates to the information (except for licensing), the data file is updated to reflect the most current information.

Hazardous Waste: Records in this series include: facility information--such as location, address, EPA #, type of facility, ownership information contact information-licensing information, manifests and annual reports. If there are changes or updates to the information (except for licensing, manifests and annual reports), the data file is updated to reflect the most current information.

RETENTION: EVENT (Supersede) and destroy

<u>00510000.</u>	<u>Newsprint Recycled Content</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records and documents in this series are annual reports from newspaper publishers, non-compliance letters and summary of data.

RETENTION: EVENT (Annual submittal) + 10 years and destroy

<u>00516A00.</u>	<u>BRRTS and R&R Ad Hoc Reports and Query Results</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include reports generated to respond to an open records request or other specific inquiry, data query, or other one-time or specific event. Reports can be generated as needed throughout the year.

Dept #: /026/ Department Name: WASTE & MATERIAL MANAGEMENT

RDA # RDA Title Retention Disposition PII

RETENTION: EVENT (Not needed) and destroy

Dept #: /027/ Department Name: REMEDATION & REDEVELOPMENT

RDA # RDA Title Retention Disposition PII

00260B00. LAND RECYCLING LOAN PROGRAM (LRLP) EVT+20 DEST N

Under Wis. Stat §281.60 and 281.59, and Wis. Adm. Code ch. NR 167, provides loans to assist qualified municipalities to remedy environmental contamination of sites or facilities at which environmental contamination has affected or threatens to affect groundwater or surface water. This series includes project files that document the terms and conditions of the loan, including loan applications and all attachments, agreements, amendments, project plans, and final reports.

These loans are subject to continued monitoring, Department inspections and approvals in case of any alterations, sale or lease possibilities or other changes to the land use. This series includes project files that document the terms and conditions of the loan, including loan applications, agreements with engineering firms, budget information, financial assistance agreements, disbursement requests, and all attachments, agreements, amendments, project plans, and final reports.

RETENTION: EVENT (DOA certification date for final project closeout) + 20 years and destroy

00515000. BRRTS (BUREAU FOR REMEDIATION & REDEVELOPMENT TRACKING SYSTEM) P PERM Y

Summary of site data and site history: Series includes continuous electronic record (currently in Oracle) summarizing each Remediation & Redevelopment program site that has been identified. The data is updated regularly. Current data includes:

- Pre-CERCLIS
- Superfund sites (removals, site assessment, remedial)
- Brownfield sites ((state or federal grant/loan sites and liability sites)
- UST site assessment and tank removal sites
- State Funded Response Sites
- Consultant and contractor records
- Dry Cleaner Environmental Response Sites
- Registry of Waste disposal sites (having RR involvement)

The system provides summaries of historical data and tracks key actions including site identification, cleanup determination, total fees submitted, and historical property data. Note: A copy of the BRRTS data in searchable format is located on the DNR intranet site.

(BRRTS Detailed Cleanup Data (formerly 00515A)): Additionally, this series includes routine detailed data relating to site investigation and cleanup, including details regarding fee payments and key data on project status that needs to be maintained to track progress through cleanup completion.

Permanent Retention Justification: Summary remediation and redevelopment information is needed permanently to continue to provide prospective purchasers and other interested parties with information as to whether or not a parcel of land was ever identified as a hazardous substance discharge site, whether or not an environmental investigation or cleanup was monitored by the DNR for that parcel, and whether or not restrictions on land use or groundwater use have been required.

RETENTION: Permanent

00522000. UST SITE REPORTS P PERM Y

The DNR maintains responsibility for the Underground Storage Tank (UST) program. Per Code of Federal Regulations, 40 CFR 280.72, completion of a site assessment is required whenever certain types of underground storage tanks are closed or undergo a change in service. Reports are submitted to the DNR, as required by Wis. Admin. Code, § NR 706.11(3). Records in this series include reports that indicate the tank did not leak (clean closure sites). However, report conclusions undergo no verification process and so need to be maintained with reports identifying UST sites that do not meet standards for clean closure (problem sites). Problem sites require further DNR involvement. Site reports are used to investigate environmental contamination, environmental audits for property transactions and liability issues.

Permanent Retention Justification: The DNR maintains UST reports and provides copies in response to public requests. These records provide site-specific environmental information for conducting environmental assessments of properties; as part of due diligence to meet the public interest, assess property contamination and determine liability over time.

RETENTION: Permanent

00523000. ABANDONED CONTAINERS PROGRAM CASE FILES P PERM Y

Under Wis. Admin. Code, ch. NR 704, the DNR provides funding and contracts with private firms to clean up abandoned containers of potentially hazardous materials for environmental protection purposes. Series includes abandoned container notification memo or equivalent, reporting location, date, documents identifying the container and its contents, and cleanup reports from contractor. May also

RDA #	RDA Title	Retention	Disposition	PII
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include copies of invoices, funding requests and correspondence.

- 1983 - ca. 1989 records were maintained in Madison Central Office.
- Effective 1990, records are maintained in Regional Headquarters offices, filed by county of occurrence.

Permanent Retention Justification: The DNR provides copies of abandoned containers reports and records in response to open records requests. These records provide site-specific environmental information for conducting environmental assessments of properties; as part of due diligence to meet the public interest, assess property contamination and determine liability over time.

RETENTION: Permanent

<u>00524000.</u>	<u>BROWNFIELD SITE CASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Under Wis. Stat. ch. 292, and Wis. Admin. Code ch. NR 700, the DNR monitors brownfield sites requiring environmental cleanup. The DNR is required to monitor sites, cooperate with other agencies and submit reports evaluating the effectiveness of Wisconsin efforts to remedy contamination of and to redevelop brownfields. Case files on each site identified contain all site investigation and cleanup records as well as records documenting grant funding for the properties, including:

- Brownfields Green Space and Public Facility Grants: Funding to preserve or create green space, develop recreational areas or use brownfields property for local government public projects.
- Brownfields Site Assessment Grants: The DNR funds projects to take preliminary actions at brownfields properties for project assessment.
- Sustainable Urban Development Zone Grants: The DNR provides funding to local governments for the assessment, investigation and cleanup of brownfield properties in selected cities.

These grants need to stay on permanent status because they're tied to the permanent technical file associated with it, which is located in BRRTS (RDA 00515000). This includes Greenspace, SAG, SUDZ and Federal Brownfield Tax Incentive Records. These are kept to show progress (through State funding) toward closure.

- Federal Brownfields Tax Incentive Records: Records identifying brownfields site and taxpayer who incurs remediation expenses on a property that is held in a trade or business.

Records in these case files include forms and reports that identify and describe the property as a brownfield site targeted for cleanup efforts, site monitoring reports and results and correspondence with parties interested in cleanup projects. Series also includes records documenting all terms and conditions to receive project funding, including grant applications and all attachments, agreements, amendments, project plans, and final reports. Brownfield contamination may have a long-term impact on the environment, including land and groundwater. Long-term retention is also needed for the DNR to protect human health and safety, by monitoring the site and reports submitted through final cleanup, to ensure that sites continue to be used as specified in terms and conditions for receipt of grant funding.

Permanent Retention Justification: These records also provide site-specific environmental information for conducting environmental assessments of properties; as part of due diligence to meet the public interest, assess property contamination and determine liability over time.

RETENTION: Permanent

<u>00525000.</u>	<u>FEDERAL SUPERFUND CASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Under Wis. Stat. ch. 292, and Wis. Admin. Code ch. NR 700, the DNR works cooperatively with U.S. EPA to oversee the investigation and remediation of Federal Superfund sites. Case files on each Superfund site contain all site investigation and cleanup records including, but not limited to, contamination identification and related data, reimbursement documents, site monitoring reports, project plans, correspondence and final reports. Key data on each project will be maintained in electronic BRRTS data files.

Permanent Retention Justification: These records also provide site-specific environmental information for conducting environmental assessments of properties; as part of due diligence to meet the public interest, assess property contamination and determine liability over time.

RETENTION: Permanent

<u>00526000.</u>	<u>STATE FUNDED RESPONSE CASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Under Wis. Stat. ch. 292, and Wis. Admin. Code ch. NR 700, the DNR utilizes the state environmental fund to investigate, cleanup and monitor contaminated sites with environmental or public health concerns, where no responsible party is willing or financially able to take necessary actions. Case files include documents identifying the contamination site, contamination data and laboratory results, investigation reports, and cleanup efforts.

Permanent Retention Justification: These records also provide site-specific environmental information for conducting environmental assessments of properties; as part of due diligence to meet the public interest, assess property contamination and determine liability over time.

RETENTION: Permanent

RDA #	RDA Title	Retention	Disposition	PII
<u>00527000.</u>	<u>VOLUNTARY PARTY LIABILITY EXEMPTION (VPLE) PROGRAM CASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>Under Wis. Stat. § 292.15, and Wis. Admin. Code ch. NR 700, the VPLE program allows any party to voluntarily investigate and remediate a contaminated property and receive the Voluntary Party Liability Exemption (VPLE). Once the DNR approves the cleanup, a Certificate of Completion is issued to provide the party who conducted the cleanup and future owners of the property with exemptions from environmental liability in perpetuity as long as certain conditions have been met. Records include VPLE application forms, relevant correspondence and documentation of the project and a Certificate of Completion.</p> <p>Permanent Retention Justification: These files, including the VPLE Application and Certificate of Completion identify responsible parties for cleanup, meet public property liability concerns and need to be retained permanently for long-term enforcement/environmental information. These records also provide site-specific environmental information for conducting environmental assessments of properties; as part of due diligence to meet the public interest, assess property contamination and determine liability over time.</p> <p>RETENTION: Permanent</p>			
<u>00528000.</u>	<u>DRY CLEANER ENVIRONMENTAL RESPONSE PROGRAM CASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>Records in this series monitor site cleanup, under Wis. Stat. § 292.65, related to the discharge of dry cleaning product to the environment. The DNR monitors actions to halt the discharge, contain and remove discharged dry cleaning product, and remove contaminated soil and water in order to restore the environment and to address the harmful effects of the discharge to air, lands, and waters of the state. The DNR keeps records and statistics on the program and periodically evaluates program effectiveness. Records in this series may also include copies of grant agreements and projects for cleanup. Records have long term value because residual contamination may pose a threat to public health, safety, or welfare.</p> <p>Permanent Justification: These records also provide site-specific environmental information for conducting environmental assessments of properties; as part of due diligence to meet the public interest, assess property contamination and determine liability over time. Dry cleaning chemicals may be dumped into the ground and thus are threatening ground water. Records are also used to verify a site has been cleaned.</p> <p>Retention: Permanent</p>			
<u>00532000.</u>	<u>SPILLS PROGRAM CASE FILES</u>	<u>EVT+100</u>	<u>SHSW</u>	<u>Y</u>
	<p>Persons who cause a discharge of a hazardous substance to the environment are required to immediately notify the DNR of that discharge by telephone, telefax, visiting the DNR, or telephoning a 24-hour DNR hotline, per Wis. Admin. Code ch. NR 706. Notification requirements and containment, cleanup disposal and restoration requirements are further specified in the Wis. Admin. Code ch. NR 700 rule series. Records in this series document the spills report and follow up actions for each discharge case. Records include:</p> <ul style="list-style-type: none"> • Reports of Toxic and Hazardous Spills in the Spills Electronic Reporting and Tracking System (SERTS) web form. If the SERTS web form is not available, the SERTS Web manual entry form is used, • Additional information regarding spill location, date, contents of the spill that responsible parties may document and submit concerning the discharge, • Pertinent correspondence • Cleanup reports. <p>Data from spills reports is uploaded into BRRTS (RDA # 370/515). Spills Coordinators reference spill reports for regulatory purposes and to respond to requests for information about property contamination. Long-term retention of case files is needed to protect the public interest and determine liability for residual contamination that may be discovered in the future.</p> <p>RETENTION: EVENT (Spill report date) + 100 years and transfer to Wisconsin Historical Society (WHS)</p>			
<u>00533000.</u>	<u>GIS REGISTRY SUMMARY DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>The DNR lists all closed (no further action required) remediation sites where groundwater contamination exceeds Wis. Admin. Code, ch. NR 140 groundwater enforcement standards on the Geographic Information System (GIS) Registry of Closed Remediation Sites, Wis. Stat. § 292.55. All closed cases where soil contamination exceeds Wis. Admin. Code, ch. NR 720 generic or site-specific soil standards will also be listed on the GIS Registry of Closed Remediation Sites. The GIS Registry is a web-based spatial layer of site data. GIS Registry points represent the centers of closed remediation sites, displayed as shape files on a map overview. The application currently uses ArcView software to spatially reference and display digitized properties on screen. Data is entered from the GIS Registry of Closed Remediation Sites submittal form or captured electronically using GPS software. It includes BRRTS ID, location of property on which the source of contamination was found, closure conditions, and other contamination data. The Registry also contains scanned or digitized images of documents related to a closure request, such as the property deed(s), DNR GIS Registry of Closed Remediation Sites - Submittal Page and DNR Cover Sheet for GIS Registry, for each site and relevant contaminant information for all properties affected.</p> <p>After scanning into the GIS Registry, these documents are filed into the appropriate Remediation and Redevelopment Site case file for the particular property, i.e., UST, Abandoned Container, Brownfields, Superfund, State Funded Response, Hazardous Substance Spills, Dry Cleaner Environmental Response, Land Recycling, or Spills Program Sites (RDAs 00522 – 00532).</p> <p>BRRTS data (RDA # 370/00515) contains some of the same data elements that are in the GIS Registry, but GIS Registry source data is captured separately from BRRTS, on the Submittal form and via GPS transfer of data. A copy of the GIS Registry is made available to the public via the DNR's Internet Web page. Well drillers are required to check with Digger's Hotline to determine if the property where they are proposing to install a new well or improve an existing well is listed on the GIS Registry in order to determine if special</p>			

Dept #: /027/ Department Name: REMEDICATION & REDEVELOPMENT

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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well casing requirements apply. Prospective purchasers and other interested persons will need access to the GIS Registry to determine whether there is residual soil contamination on the property that they are interested in, and whether land use restrictions have been required as a condition of case closure. The DNR needs to maintain summary information about each site permanently to meet ongoing reference needs for prospective purchasers, landowners, environmental consultants, real estate agents, lenders, public health officials and well drillers.

Permanent Retention Justification: Summary remediation and redevelopment information is needed permanently to continue to provide prospective purchasers and other interested parties with information as to whether or not a parcel of land was ever identified as a hazardous substance discharge site, whether or not an environmental investigation or cleanup was monitored by the DNR for that parcel, and whether or not restrictions on land use or groundwater use have been required.

RETENTION: Permanent

<u>00534000.</u>	<u>GIS REGISTRY SITES DETAIL DATA - NO LONGER CONTAMINATED</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Many GIS sites are expected to remain on the GIS Registry permanently. This record series covers data on any sites where the groundwater contamination is reduced to the point that the groundwater contamination no longer exceeds Wis. Admin. Code, ch. NR 140 groundwater enforcement standards or soil contamination no longer exceeds Wis. Admin. Code, ch. NR 720 soil cleanup standards, or both.

In these cases, date and relevant scanned images may be removed from the GIS Registry and archived.

NOTE: BRRTS data will also be updated, and the site will continue to be listed in BRRTS. Closure history information is maintained in the paper site file, and will be retained permanently as specified in RDAs for site case files.

Permanent Retention Justification: Summary remediation and redevelopment information is needed permanently to continue to provide prospective purchasers and other interested parties with information as to whether or not a parcel of land was ever identified as a hazardous substance discharge site, whether or not an environmental investigation or cleanup was monitored by the DNR for that parcel, and whether or not restrictions on land use or groundwater use have been required.

RETENTION: Permanent

Dept #: /030/ Department Name: LAW ENFORCEMENT

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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<u>00003000.</u>	<u>RECREATIONAL SAFETY COURSE INFORMATION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Under Wis. Stat. chs. 23, 29, 30 and 350, instructors provide safety training classes to private citizens on boating, bow hunting, hunting, snowmobiling, all-terrain vehicles (ATVs), utility terrain vehicles (UTVs) and off-highway motorcycles (OHMs). Records in this series document identifying information for students including pass / fail status, instructor information such as which course they are certified to teach, identifying information and background check materials. The instructor completes the Class Roster Sheet, verifies students who successfully complete the required training. Series includes registration records for no shows and failed students.

Central LE Bureau files these records chronologically by completion date and then alpha by county. Retain paper for one year and destroy the paper record provided the source document was microfilmed. All information except student failure is entered into licensing database.

RETENTION: EVENT (Date of course) + 6 years and destroy confidential

<u>00007000.</u>	<u>INVESTIGATIVE TEAM CASE FILES:</u>	<u>EVT+6</u>	<u>SHSW</u>	<u>Y</u>
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Records series includes Investigation Case Files created in response to Wis. Stat. Ch. 29, relating to illegal use of fish and game and other natural resources. These case files document undercover, covert operations of serious violations. Series includes all investigation, charges, Department findings and actions needed as supporting evidence, copies of legal proceedings, testimony, and briefs. This series also documents multi-state and federal undercover "sting" operations such as "Operation Gillnet, Mesabi, CanAm" cases, etc. Certain case files may contain undercover names of the investigators. These records contain prosecuted, unpursued and unprosecuted cases.

RETENTION: EVENT (Case closed) + 6 years and transfer to State Archives

<u>00007A00.</u>	<u>SPECIAL INVESTIGATION CASE DATABASE</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
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Database (currently Access) relating to illegal use of fish and game and other natural resources. Data includes case number, names of individuals and organizations, charges, dates and key actions. Data is maintained for long-term reference purposes.

RETENTION: EVENT (Close of investigation) + 25 years and destroy

00037000. COMPLIANCE ORDERS & REFERRALS - CRIMINAL AND CIVIL ENVIRONMENT **EVT+10** **DEST** **Y**

Records in this series include compliance orders and recommendations to refer violations of U.S. or state environmental protection statutes/Administrative Codes for civil or criminal prosecution. Environmental Enforcement Specialists or Investigative Wardens draft orders and referrals and route them to Central Office program, legal, enforcement and administrative staff for approvals.

- Compliance Orders: Environmental Enforcement Specialists typically draft orders. Draft documents are confidential. Final orders are public records. The Environmental Enforcement Specialist who drafted the order maintains the official file on the Environmental Enforcement Case Management Site. Central LE Office in Madison keeps reference copies.
- Civil and Criminal Referral Memos: Records document environmental violations including the findings of investigations, descriptions of evidence, legal documents, testimony, etc. Records can also include those from multi-state and/or federal jointly conducted investigations. Some records may contain confidential names of investigators and/or informants. The Environmental Enforcement Specialist or Investigative Warden who drafted the referral, maintains the official case files on the Environmental Enforcement Case Management Site. These records are considered confidential. Central office keeps reference copies of the Case Investigative Report (criminal) or Referral Memo (civil) and accompanying letters.

RETENTION: EVENT (Case closed and order satisfied) + 10 years and destroy confidential

00055000. DNR SEIZURE, CONFISCATION AND SALES CASE FILES **EVT+6** **DEST** **Y**

Records series covers enforcement records that wardens and officers create for seizures, disposition and sales of equipment and animals used or held in violation of fish and game laws under Wis. Stat. § 29.931. Includes records related to the seizure and confiscation of fish, game and apparatus seized by conservation wardens, the seizure and confiscation forms, and other records needed to verify and document Department seizure, confiscation, sales and disposition actions. DNR action may be taken as a result of a citation, and retention requirements that correspond with the retention of citations.

NOTE: Bureau of LE keeps a set of these records to provide chain of custody information. Bureau of Finance keeps their own records to document monies received and disbursed.

RETENTION: EVENT (Seizure or confiscation) + 6 years and destroy confidential

00097000. DESIGNATED MOORING AREA (DMA) CASE FILES **EVT+30** **SHSW** **N**

Per Wis. Stat. § 30.77 and federal requirements, the Department is authorized to approve or deny applications from municipalities with jurisdiction over navigable waters for Designated Mooring Areas (DMA). Records in this series include applications, ordinances, waterway marker permits and review materials for DMAs which are approved, denied or pending administrative review hearings. May also include revisions to ordinances, appeals, and reapplications and review hearing records. Hearings may entail review of other cases, including past practices, consistent Departmental decisions and precedents.

RETENTION: EVENT (Closed, DMA no longer in effect) + 30 years and transfer to State Historical Society

00103000. LOCAL ORDINANCE & WATERWAY MARKER PERMIT CASE FILES **P** **PERM** **N**

Local municipalities are required to submit local boating ordinances enacted under Wis. Stat. § 30.77(4), to be maintained on file in the DNR Bureau of Law Enforcement. Records in this series include the local ordinances and waterway marker applications, approvals and denials. Files contain current and historical information about each municipality's water regulations and buoy permits. Records justify local regulations and are accessed daily by Law Enforcement personnel. Records are frequently cross-referenced with each other regarding joint jurisdiction waters.

Permanent justification: The Department is the keeper of all local boating ordinances in the state.

RETENTION: Permanent

00146000. CITATIONS & ARRESTS **EVT+6** **DEST** **Y**

Record series covers citations that wardens issue to offenders for the following types of violations: Natural Resource violations under Wis. Stat. §§.23.54 and 29.921, Uniform Traffic Citations, Juvenile Alcohol Tickets as outlined in Wis. Stat. § 938.17. The DNR enforcement officer provides copies of the citation to the defendant and the courts. After the case is closed, the officer forwards the record to Central Madison Bureau of Law Enforcement for DNR data entry.

Records are maintained to verify convictions and to provide to law enforcement officers within and outside the Department in response to requests for copies of citations issued for use in ongoing fish, wildlife and environmental investigations, special investigations or other types of enforcement actions.

RETENTION: EVENT (Case closed) + 6 years and destroy confidential

00148000. ENVIRONMENTAL CIVIL AND CRIMINAL INVESTIGATION CASE FILES **EVT+10** **DEST** **Y**

Investigation Case Files are created during the course of investigation or due to potential violations of environmental laws. They document environmental violations, investigations, charges and findings and include copies of legal documents, warrants, testimony,

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briefs, etc. Also includes multi-state investigations and those conducted jointly with federal agencies. Some records in this series may contain the names of confidential sources of information. These records are to be treated as confidential (at least until the investigation and any related enforcement action is complete).

Central database contains case action and status updates for management purposes. Records are kept on the Case Management System for potential court action.

RETENTION: EVENT (Case closed) + 10 years and destroy confidential

<u>00901000.</u>	<u>NOTICE OF INTENT TO PATROL</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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Under Wis. Stat. chs. 23, 29, 30, and 350, in order to be eligible for inclusion in the state aids program, counties, local units of government or groups of municipalities must file a "Notice of Intent to Patrol" form 8700-059, notifying the Department that they will operate any or all of the following: Municipal water safety patrol [s. 30.79(5), Wis. Stats. and NR 50.13, Wis. Adm. Code], County snowmobile patrol, [Wis. Stat. § 350.12(4) and Wis. Adm. Code § NR 50.12], County all-terrain vehicle patrol [Wis. Stat. § 23.33(9) and Wis. Adm. Code § NR 64.15].

Municipal Boat, Snowmobile and ATV law enforcement services submit Annual "Intent to Patrol Notices" to the LE Bureau for the upcoming Boat, Snowmobile and ATV activity seasons.

RETENTION: EVENT (Date filed) + 2 years and destroy

<u>00902000.</u>	<u>MUNICIPAL BOAT/SNOW/ATV PATROLS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Municipal Boat/Snow/ATV Patrols: This series contains the records submitted by the local units of government or groups of municipalities regarding their patrols authorized under the Notice of Intent to Patrol form 8700-059 (RDA 00900000) and includes daily logs, operator logs, patrol issued citations, and monthly logs of violations.

RETENTION: EVENT (Date submitted) + 5 years and destroy

<u>00903000.</u>	<u>CASETRACK DATA - ENVIRONMENTAL LAW ENFORCEMENT</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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This electronic database contains data on DNR environmental enforcement actions and may be used to track case status, identify paper case files and is provided to DNR staff for regulatory and reference purposes. The database (currently Oracle) contains case number, case title, names, key actions and dates, including case close date.

PERMANENT: The records in this series document environmental violations to the natural resources of Wisconsin. We need a permanent record of the violations and actions taken.

RETENTION: Permanent

<u>00903A00.</u>	<u>CASETRACK SYSTEM DOCUMENTATION</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Records in this series document the design, development and operational procedures for the Casetrack electronic database, including paper applications design documents and materials related to application changes and revisions. Documentation is needed for as long as the Casetrack system is in operation and related files need to be accessed retrieved.

RETENTION: EVENT(Supersede) and delete (for current documentation) or EVENT (When system migrated and all data files migrated) + 3 years and destroy (for any major system upgrade or new system)

<u>01191000.</u>	<u>LAW ENFORCEMENT EVIDENTIARY MEDIA</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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All media captured by law enforcement which is evidentiary in nature. This includes audio, photographic, or video content, such that produced by body-worn or dash mounted cameras, digital cameras/audio recorders or equivalent technology, and electronic surveillance monitoring equipment (e.g. security cameras).

RETENTION: EVENT (Creation) + 6 years and destroy confidential

<u>01192000.</u>	<u>LAW ENFORCEMENT NON-EVIDENTIARY MEDIA</u>	<u>CR+0/4</u>	<u>DEST</u>	<u>Y</u>
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All media captured by law enforcement which is non-evidentiary in nature or contains an officer contact which is subject to a misconduct complaint. This includes audio, photographic, or video content, such as that produced by body-worn or dash-mounted cameras, digital cameras/audio recorders or equivalent technology, and electronic surveillance monitoring equipment (e.g. security cameras).

RETENTION: EVENT (Creation) + 120 days and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
<u>00001000.</u>	<u>RESEARCH PROJECTS</u>	<u>EVT+6</u>	<u>SHSW</u>	
	Memorandum of Understanding and associated documentation between the us geological survey and the Department of Natural Resources for research, monitoring, and related data pertaining to water resources and other department disciplines. Records consist of contract, annual supplements, project proposal or project summary, and reports as required by the specific projects. Also includes description of projects, funding sources, liaisons, invoices and vouchers.			
	Records are to be maintained for 6 years after completion and acceptance of the project by the department and transferred to the State Historical Society, provided that the agency has resolved any dispute to which an audit exception has been taken.			
	RETENTION: EVENT (Closed/terminated/death) + 6 years and transfer to State Historical Society			
<u>00009000.</u>	<u>COOPERATIVE RESEARCH</u>	<u>EVT+6</u>	<u>SHSW</u>	
	Agreements and associated documentation with the University of Wisconsin, out of state schools, and individuals for research projects on natural resources and/or related disciplines. Projects covered are varied and include research, investigations, and studies relating to forests, fish, game, and other natural resource issues.			
	Records include agreements, project proposals and general information specific to the project. The final product is a written report prepared by the principal investigator (RDA 00009A00).			
	Records are to be maintained for 6 years after completion and acceptance of the project and transferred to the State Historical Society, provided that the agency has resolved any dispute to which an audit exception has been taken.			
	RETENTION: EVENT (Closed/terminated/death) + 6 years and transfer to State Historical Society			
<u>00009A00.</u>	<u>COOPERATIVE RESEARCH REPORTS</u>	<u>P</u>	<u>PERM</u>	
	Cooperative research reports on research projects by the University of Wisconsin, out-of-schools, and individuals on natural resources and/or related disciplines. Projects covered are varied and include research, investigations, and studies relating to forests, fish, game, and other natural resources.			
	The reports are maintained in the technical library with copies going to the Historical Society.			
	RETENTION: Permanent			
<u>00175000.</u>	<u>EPA FORM R OR FORM A</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Selected facilities are required to submit Federal Form R or Form A, toxic Chemical Release Inventory Reporting forms, to the U.S Environmental Protection Agency (EPA) and Wisconsin DNR, under 42 USC 11023, Superfund Amendments and Reauthorization Act (SARA) of 1986, Section 313 and s. 323.60(5)(d) to (f), Wis. Stats., and Ch. WEM 3, Wis. Adm. Code. These forms contain identification and certification information about each facility and chemical-specific information about environmental emissions, releases, and offsite transfers (transportation) of certain chemicals.			
	Per federal requirements, approximately 880 facilities report annually, to both the EPA and DNR. Another 25 facilities report ONLY to DNR per state requirements.			
	Wisconsin receives these forms in paper format or electronically through the state node as part of EPA's Central Data Exchange (CDX). The electronic forms are retained in XML format in DNR's TRI Submissions Database.			
	RETENTION: EVENT (Submittal deadline for reporting year or date of revised submittal) + 3 years and destroy			
<u>00176000.</u>	<u>TRI SUBMISSIONS DATA</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	This electronic Oracle database captures key identifier data from EPA forms received by the Wisconsin State CDX node. The TRI database includes the following data elements:			
	- Facility identification, contacts, etc.			
	- Toxic chemical identification			
	- On-site waste treatment methods and efficiency			
	-Transfers to other off-site locations			
	- Source reduction and recycling activities			
	Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:			
	http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf and http://dotnet/bmsrecords/recelec.htm .			
	RETENTION: EVENT (Submittal deadline for reporting year or date of revised submittal) + 3 years AND destroy			
<u>00400000.</u>	<u>OPERATOR CERTIFICATION SYSTEM DATA</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Records in this series include data about Waterworks and Wastewater Treatment Plant Operators who are certified in Wisconsin: all System Operators, Septage Service Operators, Solid Waste Disposal Facilities Operators and Solid Waste Incinerator Operators. Also includes data for all applicants for certification and operators with reciprocity from other states: operator/applicant name, address, general exam and subclass types, exam dates, exam grade information, grade levels passed, and renewal data. Data provides current information about certified operators and is also used to monitor and track the certification renewal process. Operators of waterworks			

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and wastewater treatment plans, septage servicing operators and water system operators must renew certification every 1-3 years and may not continue to work with expires certificate. If they fail to renew, operator certification expires, and applicants are required to meet renewal requirements specified in §§ NR 114.07, 114.22 or 114.36, Wis. Adm. Code, respectively.

- Within one year, a person whose certificate has expired may be reinstated by paying the renewal fee, the late penalty fee and fulfilling the continuing education requirements.
- If the certification has been expired for at least one year, operators must renew their certificates by taking certification examinations.

Operators of solid waste disposal facilities must renew certification within two years and may not continue to work with an expired certificate. If they fail to renew, operator certification expires, and applicants are required to meet initial certification requirements specified in § NR 524.08, Wis. Adm. Code.

Solid Waste incinerator operator requirements are specified in NR 499:

- Solid waste treatment facility operator. Per NR 499.09, applicants must complete an initial training program and then take and pass an examination for chief facility operator or shift operator in order to become a certified operator.
- Per NR 499.10, a chief facility operator or shift operator must annually complete a minimum of 4 hours of refresher training in order to renew his or her certification before the certification expires.
- if certification expires, operators must take training courses and certification examinations to renew certification.

Data is currently maintained in Oracle.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Date exam pass, fail or no-show) + 3 years and destroy

<u>00401000.</u>	<u>OPERATOR CERTIFICATION APPLICATIONS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers application materials for Waterworks and Wastewater Treatment Plant Operator certification, including reciprocity certification, and Small System, Septage Service, Solid Waste Disposal Facilities, and Solid Waste Incinerator Operator. Records include application, CEC's, CEU's, and education experience sheets, including original applications and applications for renewal. Application materials are to be retained for the duration of the operator's certification and for one year after date of non-renewal. This series also includes applications for no-shows and applicants who failed certification exams.

RETENTION: EVENT (Date of non-renewal, failure or no-show) + 3 years and destroy

<u>00402000.</u>	<u>OPERATOR CERTIFICATION EXAMINATION ANSWER SHEETS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers completed examination answer sheets from Waterworks and Wastewater Treatment Plant, Small System, Septage Service, Solid Waste Disposal Facilities, and Solid Waste Incinerator Operator examinations.

RETENTION: EVENT (Examination scored) + 3years and destroy

<u>00403000.</u>	<u>OPERATOR CERTIFICATION EXAMINATION ROSTERS AND RESULTS</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>Y</u>
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Records series covers rosters for operator certification examinations and results information. Applicant results are downloaded into the electronic Environmental Licensing & Certification System.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Examination scored) + 6 months and destroy

<u>00404000.</u>	<u>OPERATOR CERTIFICATION SYSTEM AD HOC OUTPUT REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series covers reports printed as needed from data in the Environmental Licensing & Certification System. Reports are used, and then destroyed.

RETENTION: EVENT (Not Needed) and destroy

<u>00405000.</u>	<u>OPERATOR CERTIFICATION POLICY AND EXAMINATION HISTORY FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers master history file of examinations and final study guides used to test and certify for Waterworks and Wastewater Treatment Plant, Small System, Septage Service, Solid Waste Disposal Facilities, and Solid Waste Incinerator Operators. Records in this series support certification program administration and document basis for determining that operators meet Wisconsin certification qualifications.

RETENTION: EVENT (Superseded by updated materials or obsolete) + 3 years and destroy

<u>00406000.</u>	<u>OPERATOR CERTIFICATION EXAMINATION DEVELOPMENT WORKING PAPE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series covers working papers used to develop, update and amen examinations to certify qualified operators and also to research and develop study guides and information materials on the Operator Certification Program. Records may include background

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information from other states, drafts or examinations or study guides and other items that are often superseded by updated information.

RETENTION: EVENT (Superseded by updated information) and destroy

<u>00409000.</u>	<u>WWEA (WASTEWATER EDUCATION ASSOCIATION) ACTIVITIES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records series covers meeting agendas, discussion items, actions and work products of the WWEA. The WWEA includes educators, Wastewater Operators, and other associations, and it includes representation of the Natural Resources Program Specialist for the Operator Certification Program. Informational material and actions of this group are made available to the public through distribution of notices and are also provided on the DNR Internet site.

RETENTION: EVENT (Meeting date) + 3 years and destroy

<u>00670000.</u>	<u>RESEARCH STUDIES - KEY INFORMATION</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Series includes key records that document a formal research study (one which has a written proposal, including internal/external collaborative projects) from the proposal through the publication of the final report. Key records will allow data from the studies to be used correctly in the future as the need arises. For example, some of the data collected in an experiment on pheasants in the 1960s was not completely analyzed because we lacked the proper techniques. New techniques in the 1980s and DNR maintenance of key records allowed Department staff to reanalyze this data and advance the knowledge of a key game species. Records in this series include, but are not limited to, the following:

- Original Study proposal and any modification(s) to it.
- Last version of all reports written for the study. If a report is published in the scientific literature, a reprint of the report is needed.
- Paper list of all data used. A paper list of any data, which is part of a working database, will not be kept but reference will be made to the Departmental database(s) in which they are stored.
- Any field or laboratory notes.

Records in this series may also include the following:

- Abstracts of, and slides used in, all formal presentations for the study.
- Any photos or slides documenting the study or procedures used in the study.
- Any coding book used to code the data.
- Vegetation cover maps or other maps plotting data for the study. If the map is digitized, reference to the location of the digitized image will be made.
- Reference to the location of any voucher specimen or parts collection made for the study.
- Copy of all questionnaires not included in any reports.

Permanent retention of key data is needed for long-term environmental research purposes. Official copy filed at Madison ISS Research Center. Also distribute copies of published reports as required under s.35,83, Wis. Stats.

RETENTION: Permanent (ISS Research Center, Madison) or EVENT (Study Completion) and destroy, provided official copy is filed in ISS Research Center (DNR Responsible Researcher)

<u>00671000.</u>	<u>RESEARCH STUDIES WORKING FILES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Working files created and generated in developing the study and drafting results have a temporary value documenting status of studies, and many are superseded by final products. The material in the working files may be paper, electronic, or other media. Records in this series include but are not limited to memos, Budget documents progress reports, and electronic data files generated specifically for the study. Researchers have their own datasets, with most in SAS, and some in Paradox, Excel, and Access software.

- SAS or other programs used to analyze the data.
- Computer outputs.
- Drafts of reports.
- The full text of presentations.
- Specimens, parts of organisms, and other sample material collected in the study.

RETENTION: EVENT (Project complete) + 1 year and destroy

<u>00672000.</u>	<u>SOCIOLOGICAL SURVEY DATA FILES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Sociological Survey Data Files contain data from sociological studies, e.g., 2002 DNR Household Recycling Study, Use of Gasoline for Boating on Wisconsin Lakes. Researchers have their own datasets, generally in SAS. May also be Paradox, Excel, or Access. Some studies are done in partnership with UW Survey Center, which may also maintain their records.

RETENTION: EVENT (Study close) + 1 year and destroy

<u>00673000.</u>	<u>SOCIOLOGICAL SURVEY COMPLETED INSTRUMENTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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The completed/returned Sociological Survey instruments often contain comments from the respondents. These are often not fully analyzed during the study and are not usually computerized. Instruments are retained until they have no more relevance (1 years after the completion of the study).

RETENTION: EVENT (Study close) + 1 year and destroy

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<u>00674000.</u>	<u>SOCIOLOGICAL SURVEY WORKING FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Working files may be created and generated in developing Sociological Surveys and drafting results. These records include internal memos, progress and status reports, and computer files and reports with a temporary value documenting the working status of the survey. Records in working files may be paper, electronic, or other media such as A/V recordings.

RETENTION: EVENT (Study close) and destroy

<u>00675000.</u>	<u>CONSULTING REPORT REFERENCE FILES</u>	<u>CR+25</u>	<u>DEST</u>	<u>Y</u>
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Researchers are often called upon to provide answers to management's short-term questions. Responses to these issues do not require any formal research study but rely upon the review of literature or analyses of research and/or management collected data. This series covers cases where the response entails significant (more than 8 hours) work. Records warrant retention in the DNR Research Library in Madison to document literature reviewed and research undertaken. Records are used for continuing reference purposes and provide a basis for continued attention to issues researched. Records in this series include, but are not limited to final report/memo and supporting documentation.

RETENTION: EVENT (Creation) + 25 years and destroy (for Official copy at ISS Research Center, Madison) or EVENT (Not needed) and destroy (for Responsible Researcher Copy)

<u>00676000.</u>	<u>ROUTINE CONSULTING REPORTS AND WORKING FILES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Records series covers routine responses to management requests for information. Researcher involvement does not entail significant researcher time, and issues require less than 8 hours of work. Series also includes detail and background materials created and generated to produce records listed in RDA # 00305, including but not limited to:

- *Draft reports
- *Copies of supporting documentation
- *Data files & programs

Records have short-term value. Retain background and detail records in this series until report/memo completed or response provided and destroy.

RETENTION: EVENT (Report completion) + 1 year and destroy

<u>00677000.</u>	<u>RESEARCH CONTRACTS ADMINISTRATION</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Integrated Science Services provides a point of control for all research the DNR contracts to outside experts for the entire DNR. Records in this series cover contractual administration of contracts and include, but are not limited to, the following:

- Research contract.
- Any changes to the contract.
- Any unpublished data or unpublished final report developed.

Records in this series may also include the following:

- Paper copy of all data collected under the contract terms and conditions.
- Any field notes.
- Any photos or slides documenting the study or procedures used in the study.
- Any coding book used to code the data.
- Vegetation cover, maps or other maps plotting data for the study. If the map is digitized, reference to the location of the digitized image will be made.
- Reference as to the location of any voucher specimen or parts collection made for the study.
- Copy of all questionnaires not included in any reports.

At the close of each grant, forward grand records to Research Library in Madison. The DNR Bureau of Finance or Division Finance also has contract and related contractual records. Finance records document compliance with purchasing, contracting, fiscal and accounting requirements and laws. Retention of records located in the Bureau of Finance is covered under general statewide records schedules cited under "Related Records Series."

RETENTION: EVENT (Contract close) + 5 years and destroy

<u>00678000.</u>	<u>RESEARCH PROGRAM SYSTEM DOCUMENTATION</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Record series includes design and development documentation for various research datasets used by researchers to process information. System documentation is needed to understand how data was processed and to assure access to and retrieval of data over time. Records must be maintained until the particular information system is obsolete and all relevant data is either obsolete or migrated to a new database or system.

RETENTION: EVENT (System obsolete and data migrated to new system) and destroy

RDA #	RDA Title	Retention	Disposition	PII
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<u>00016000.</u>	<u>WATER REGULATORY DECISION RECORDS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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This includes decisions issued under Wis. Stat. chs. 30 & 31. They include, but are not limited to, decisions regarding structures, diversions, enlargements, stream changes, bridges, and dams. These decisions include permit approvals, denials and withdrawals, orders and rulings. This oracle-based system is also used to create form letters to applicants on decision process.

Electronic water regulatory decisions (formerly 00016b00): Includes electronic record of documents and data for permits issued under Wis. Stat. chs. 30 and 31. This electronic permitting system is accessible to the public to look up permits

Water regulatory permanent decisions (formerly 00798000.): These include decisions regarding: bridges, dams, irrigation, lake levels, misc. structures, piers, docks and wharves, retaining walls and seawalls, stream realignment, and non-metallic mining. Paper documents are destroyed after input and QC check.

Electronic records note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12, Wis. Adm. Code: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

Permanent justification: These permit records are ongoing and either stay with the land when ownership changes or are transferred to the new landowner. Landowners must abide by all of the conditions of the original permit or permit amendment (i.e. Repair and maintenance of structure according to specific permit standards and conditions).

Retention: Permanent

<u>00017000.</u>	<u>DAMS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Dams have a significant impact on water quality, wildlife, public safety, water right issues, and land use in Wisconsin. Chapter 31 of the Wisconsin Statutes, created in 1917 under the Water Power Law, was developed to ensure that dams are safely built, operated, and maintained. It covers dam construction, permitting, safety, operation, and maintenance. Wis. Stat. Chapter 31 also covers alteration or repair of dams, dam transfer and removal, and water level and flow control. Wis. Admin. Code, ch NR 333 provides design and construction standards for large dams, Wis. Admin. Code, ch NR 335 regulates the administration of the Municipal Dam Grant Program, and Wis. Admin. Code, ch. NR 336 regulates the dam removal grant program. DNR is responsible for administering these regulations.

This series contains the complete field file and record of construction, operation, maintenance and inspection of dams on water bodies of the state. Documents include plans, calculations, inspection reports, surveys, photos, maps, permits, grant information and like material.

The official record of the field file is maintained in the Central Office Dam safety & Floodplan Section. As time permits material is being scanned and saved as PDF files.

* Correspondence and plans from 1913 - 1998 have been microfilmed.

* The official record of correspondence and plans is maintained in the Field Station with the Water Management Engineer.

* Central Office maintains a microfilm copy of correspondence and plans. Duplicate copy of files in central office for records recovery purposes. Security reels retained at State Record Center.

Dam Abandonment & Removal (formerly 00017A000.): DNR is required to review and approve all applications for dam abandonment and removal. Abandonment/removal usually occurs because of a failure incident or as the result of a DNR inspection that found significant defects that require major repairs to correct. The Department offers owners the option of repairing the dam to meet current standards or abandoning the permits for the dam and removing it from the waterway.

Confidentiality of records is required as part of the Federal Homeland Security Act.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in chapter Adm 12, Wis. Adm. Code: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

Permanent Justification: These permit records stay with the dam when ownership changes. The new dam owner must abide by all of the conditions of the original permit or permit amendment (e.g., repair and maintenance of the structure according to specific permit standards and conditions).

Retention: Permanent

<u>00018000.</u>	<u>ENVIRONMENTAL FIELD BOOKS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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This series contains field notes of surveys generated by the Public Service Commission and the Department of Natural Resources staff. This information contains water level readings, description of benchmarks, surveyor stakes, elevations, and like information. The notes are used for creating reports on specific water bodies for monitoring, violations and inspections.

Permanent Justification: DNR has ongoing research needs for these records. Rules are amended frequently, and complete background information is needed.

Retention: Permanent

RDA #	RDA Title	Retention	Disposition	PII
<u>00019000.</u>	<u>(NONPOINT SOURCE) PRIORITY WATERSHED PLANS</u>	<u>CR+20</u>	<u>DEST</u>	
	<p>State Statute 144.25 Administrative Code NR-120 Created by State Legislature in 1978. The DNR identifies lakes, streams, groundwater & other water resources where the uses of the waters are impaired or threatened by nonpoint sources; selects projects to protect or rehabilitate beneficial uses of water.</p> <p>Watershed plan consists of watershed assessment, a detailed program for implementation, & a project evaluation. Included in the plan, data, correspondence, maps, reports, grant agreements, newsletters.</p> <p>WI NPS Water Pollution Abatement Program Grant Award/Amendment WI State Agencies Form 3400-108 A WI State Cost Share Form 3400-68 WI State Amendment Form 3400-68A</p> <p>Some duplication in districts.</p> <p>RETENTION: EVENT (Creation) + 20 years and destroy</p>			
<u>00044000.</u>	<u>FERC (FEDERAL ENERGY REGULATORY COMMISSION)</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>FERC licenses some dams in the State of Wisconsin and has done so since the early 1900s. The files contain the application and authorization, correspondence, resource surveys, complaints, agreements, reports and assorted other documents. FERC is the holder of the official record, which is contained in the FERC e-library. DNR copies of material contained in this e-library can be destroyed. Other material in this series must be retained for at least 10 years, unless scanned sooner.</p> <p>FERC - Dam License and Renewals Application (formerly 00044A00.): Dams are relicensed for a specific period of time, generally 25-50 years.</p> <p>FERC Dam Jurisdiction (formerly 00044B00.): Written correspondence regarding licensing and relicensing of dams in the State of Wisconsin by FERC. These are ongoing reference files regarding all dams.</p> <p>Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf</p> <p>RETENTION: EVENT (In FERC e-library) + 10 years and destroy confidential</p>			
<u>00090000.</u>	<u>SHORELAND/WETLAND ORDERS AND ORDINANCES</u>	<u>EVT+100</u>	<u>DEST</u>	<u>Y</u>
	<p>Wisconsin's Shoreland Management Program is a partnership between state and local government that requires the adoption of county shoreland zoning ordinances to regulate development near navigable lakes and streams in compliance with statewide minimum standards. These minimum statewide standards in NR 115, Wis. Adm. Code, seek to create a balance between private rights and public responsibilities of landowners.</p> <p>This series contains correspondence and ordinances pertaining to NR 115, NR 117 and NR 118, Wis. Adm. Code. It includes updates and revisions for county and municipal ordinances. Once an ordinance is newly adopted or revised, older versions of the ordinance may be destroyed.</p> <p>RETENTION: EVENT (Date of new ordinance or date of revised ordinance) + 100 years and destroy confidential</p>			
<u>00090A00.</u>	<u>SHORELAND/WETLAND ORDERS AND ORDINANCES MICROFILM</u>	<u>P</u>	<u>PERM</u>	
	<p>Correspondence, final orders and ordinances pertaining to NR 115, Wis. Adm. Code (unincorporated county shoreline protection) and NR 117, Wis. Adm. Code (incorporated city and village shoreland/wetland protection).</p> <p>Microfilm is retained permanently. The security roll is stored at the State Historical Society and a copy retained at the Department of Natural Resources.</p> <p>This series is filed alphabetically by county and community.</p> <p>RETENTION: Permanent</p>			
<u>00092000.</u>	<u>WETLAND AERIAL PHOTOGRAPHY</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>The WDNR uses wetland, non-digital, aerial photography to delineate and classify wetlands, under Wis. Stat. § 23.32. Photos are used to illustrate and interpret Statewide wetland coverage and to update wetland coverage information.</p> <p>Permanent Justification: Aerial photos and historic aerial photos have ongoing value to the WDNR to compare and contrast wetland coverage over time, identify water regulation issues and concerns, assist in enforcement actions, develop and revise wetland plans, and justify wetland policy initiatives.</p> <p>Retention: Permanent</p>			

RDA #	RDA Title	Retention	Disposition	PII
<u>00093000.</u>	<u>FLOODPLAIN FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
<p>Under the Floodplain program, Wisconsin's counties, cities and villages are required to zone their flood prone areas. The state has set minimum standards for local regulations, but local governments can set standards that are more restrictive.</p> <p>Floodplain zoning regulates how development can actually occur within floodplains. The program's main goal is to protect people and their property from unwise floodplain development, as well as to protect society from the costs that are associated with developed floodplains. These files contain ordinances, maps and plans, flood insurance studies, calculations, and significant correspondence and background information pertaining to the administration of NR 116, Wis. Adm. Code. They also include reports and technical data that identify the flooding limits for the different rivers and streams in the state that are used as the basis for floodplain zoning at the local level. Under Wis. Stat. § 87.30, the department has responsibilities to maintain an accurate and up-to-date repository for all background information used in floodplain studies. Because FEMA provides funding, the Floodplain program has responsibilities to maintain significant correspondence and background information pertaining to the administration of the program. Paper records are scanned and destroyed after scanning. Some files from 1967 - 1984 were microfilmed. Security reels are retained at the State Records Center.</p> <p>Floodplain Files - Microfilm (formerly 00093A00): Records consist of microfilmed floodplain files for 1967-1984.</p> <p>Floodplain Files – Image (formerly 00093B00): Records series covers scanned versions of maps, plans, flood insurance studies, reports and related records used for floodplain studies. Records series also covers scanned versions of ordinances, compliance records, significant correspondence, and background information related to the administration of the program.</p> <p>Electronic Records: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12, Wis. Adm. Code: http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf</p> <p>Permanent Justification: DNR has ongoing research need for these records. Rules are amended frequently, and complete background information is needed.</p> <p>Retention: Permanent</p>				
<u>00094000.</u>	<u>RIVER BASIN FILES</u>	<u>P</u>	<u>PERM</u>	
<p>Reports and computer runs received from consulting firms, communities state and federal agencies regarding the different river basins in the State that are used for floodplain studies under NR 116. Under section 87.30, Wis. Stats., the department has responsibility to maintain an accurate and up-to-date repository for all background information used in floodplain studies. These files are used by department staff on a continual basis for conducting floodplain studies and copies need to be made upon request from anyone interested or involved in a study. We do not have the facilities to make numerous copies off to microfiche.</p> <p>RETENTION: Permanent</p>				
<u>00100000.</u>	<u>WASTELOAD ALLOCATIONS FOR WISCONSIN RIVERS</u>	<u>CR+20</u>	<u>DEST</u>	
<p>This record series contains the material used to develop wasteload allocations for major rivers of the state. It includes surface water data summaries, water quality model calibrations and projections and public involvement in the creation of the waste-load allocations under NR 212. Wasteload allocations are mandated under the Federal Clean Water Act and under State Statute 147.</p> <p>These records are created and used by the Bureau of Water Resources Management, retained for 20 years and destroyed provided superseded by updated wasteload allocations. The information is needed in case of enforcement actions or challenges by the affected dischargers or interested parties. The information is also useful during the 10-year update cycle.</p> <p>RETENTION: EVENT (Creation) + 20 years and destroy</p>				
<u>00101000.</u>	<u>WATER QUALITY SURVEY MASTERS</u>	<u>EVT+20</u>	<u>DEST</u>	
<p>This record contains hourly dissolved oxygen automonitoring reports, water quality surveys and dye studies for Wisconsin state waterbodies. This data is used to develop wasteload allocations in NR 212 for municipalities and industries by using computer models. If a discharger contests the modeled results, this data will be reviewed.</p> <p>RETENTION: EVENT (Date of survey completion and accepted) + 20 years and destroy</p>				
<u>00102000.</u>	<u>WISCONSIN POWER PLANT STUDIES</u>	<u>CR+10</u>	<u>SHSW</u>	
<p>This record series contains materials used to judge the environmental impact of intakes and thermal discharges from power plants on Wisconsin water quality including estimated economic impact to the associated fisheries.</p> <p>As fish populations change and as water quality improves, these type of studies will be required for a new determination of environmental impact. These records will be retained until superseded for historical comparisons. These studies were required under both the required amendments of the water pollution control act (section 316(a) and 316(b)), and under Chapter 147 Wisconsin Statutes.</p> <p>RETENTION: EVENT (Creation) + 10 years and transfer to State Historical Society</p>				

Dept #: /040/ Department Name: WATERSHED MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
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Dept #: /041/ Department Name: FISH MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
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00800000. FISH CONTAMINANT MONITORING PROGRAM-DATA REPORTS CR+20 DEST Y

Reports summarizing fish contaminant data with conclusions as to trends, sources, concentrations, and contaminants. This can include raw lab slips and books, summary reports of data not included in the fish contaminant database, raw data or summary reports of fish contaminant data from Wisconsin but conducted by consultants, researchers, or other governmental entities. Or it may include reports from contractors. In more recent year, electronic data discs may be included. Some of this data is not included in the DNR's fish contaminant database.

RETENTION: EVENT (Creation) + 20 years and destroy

Dept #: /042/ Department Name: DRINKING WATER & GROUNDWATER

RDA #	RDA Title	Retention	Disposition	PII
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00028000. PRIVATE WELL APPROVAL SUMMARY CASE FILES EVT+3 DEST Y

Records series covers paper records documenting application and approval for construction/operation of wells that impact contiguous properties and that may change over time, as specified in Wis. Stat. ch. 281 and Wis. Admin. Code NR 812. Records include applications for approval, approval correspondence, DNR approvals, maps, technical and engineering drawings, inspection notes and, occasionally, site photographs for the approvals including the following.

- * Anode Boreholes
- * Dry Pellet Chlorinator
- * Heat Exchange Drillholes
- * Special Areas of Well Compensation Eligibility
- * Special Well Casing Depth Areas
- * Variances for private wells

RETENTION: EVENT (Well is legally filled and sealed [decommissioned]) + 3 years and destroy confidential

00028C00. WELL APPROVAL (AKA HI CAP) SYSTEM INVENTORY DATA EVT+2 DEST Y

The Well Approval (a.k.a. Hi-Cap) System contains inventory data on certain types of wells. Since 1936, an approval for the construction and operation of high capacity wells has been required by statute, currently Wis. Stat. ch. 281. The Well Approval application (table) is a subset of the Oracle Drinking Water System (DWS). The Well Approval application contains a subgroup of records and site-specific data for high capacity wells, wastewater treatment plant (WWTP) wells, school wells and high capacity variances. Data includes owner and operator names, well and owner addresses, engineering features of wells from well construction reports, pumping data, and violation/enforcement data.

RETENTION: EVENT (Migration to Water Use System (WU)) + 2 years and destroy confidential

00063B00. WELL CONSTRUCTION REPORTS - ELECTRONIC (WELL AND TEST RESULTS) P PERM Y

Complete data from well construction reports is entered into the perpetual Well Construction application (table), a subset of the Oracle Drinking Water System (DWS), based on the paper Well Construction Report that well contractors are required to submit for each newly constructed or reconstructed well, Wis. Stat. ch. 280, and Wis. Admin. Code ch. NR 812. This is the source document for all report data entered into the perpetual file. From 1936 through 1987, these reports were microfilmed (370/063A – which has since closed). Information on these reports is used to evaluate well construction compliance, causes of drinking water quality problems and investigate nearby groundwater contamination cases. Data includes well owner; well location data, distances from the well to nearby sources of contamination, geological formations encountered, water elevation and yield characteristics; methods and materials of well construction.

Justification: Electronic well construction data needs to be retained perpetually, throughout the period a well is active and after it is legally filled and sealed (decommissioned). Property owners regularly seek information about construction of wells on their property. Even after a well is closed, wells may have a continuing impact on the environment and water quality of the State. Well construction data is critical to protect public health and safety, and it has ongoing value to evaluate causes of drinking water quality problems, monitor drinking water and groundwater, investigate sources of contamination, and assess well construction methods and materials over time.

RDA #	RDA Title	Retention	Disposition	PII
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Retention: Retain data permanently, and migrate to updated or new systems as needed. Agency system is in place to back-up database information to back-up server.

RETENTION: Permanent

<u>00065000.</u>	<u>DRILLER/PUMP INSTALLER EXAM RECORDS (CONFIDENTIAL)</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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Records series covers well driller, heat exchange driller and pump installer exam materials required for licensees under Wis. Stat. ch. 280. Series includes examinations, answer sheets, and individual exam results. Once an individual applies for a license and is determined to be eligible, their eligibility is good for 2 years by code.

RETENTION: EVENT (Examination date) + 2 years and destroy confidential

<u>00065B00.</u>	<u>DRILLER/PUMP INSTALLER/RIG OPERATOR LICENSEE MASTER ELECTRONI</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records series covers licensed driller and pump installer data contained in the Environmental Licensing and Certification (ELC) Oracle system. ELC is used for environmental occupational licenses. Licenses covered in this series include Well Driller Individual and Business Licensing, Pump Installer Individual and Business Licensing, Heat Exchange Driller Individual and Business Licensing, and Rig Operator Registration.

License/registration application data includes name, address, telephone, date licensed, renewal dates, continuing education credits earned, enforcement actions, revocations and suspension information. Data on each licensee is continuously updated as long as the licensee renews their license and participates in continuous education classes.

RETENTION: EVENT (Non-renewal) + 10 years and destroy confidential

<u>00066000.</u>	<u>DRILLER/PUMP INSTALLER RENEWALS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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Records series consist of annual renewal applications for individual and business licensed drillers and pump installers. Hard copy renewal application and related documents are retained to backup computer records and verify signatures. Electronic license renewal system is under development and expected to be available in 2016.

RETENTION: EVENT (Creation) + 6 years and destroy confidential

<u>00067000.</u>	<u>PRIVATE WELL ACTIVITY CASE FILES (COUNTY FILES)</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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Records series covers correspondence and other materials related to individual well inquiries, complaints, investigations or other monitoring activities. Records may include inspection reports, lab sample results, correspondence, compliance and enforcement information on individual wells or drillholes. Drinking Water & Groundwater (DG) Field Staff files are in paper or electronic form, organized and retained in individual field staff offices. Central office files are arranged alphabetically by county and chronological within the county.

RETENTION: EVENT (DNR response or transfer lab sample results to GRN) + 2 years and destroy confidential

<u>00068A00.</u>	<u>PRIVATE WELL WATER LAB RESULTS - ELECTRONIC</u>	<u>CR+6</u>	<u>TRANS OTHER</u>	<u>Y</u>
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This records series covers electronic data submitted by certified laboratories directly into an Oracle database. Data includes the initial bacteriological sample results ("First Water Quality Test") for each well-constructed, and for other sample results required by Wis. Admin. Code NR 812, including after pump work.

RETENTION: EVENT (Creation) + 6 years and transfer to GRN system

<u>00089000.</u>	<u>PRODUCT & EQUIPMENT APPROVAL CASE FILE</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
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Records series consists of well construction and pump installation products and equipment specifications submitted by manufacturers seeking approval, and subsequent Department review and approval documents. The Department receives information on state-of-the-art materials and equipment for use in constructing wells and heat exchange drillholes. Records describe the product, equipment and processes required for use in well construction. Records have ongoing reference value for DNR personnel to monitor causes of well failure, standards for construction, material safety, etc. Files also include information received from the Department of Health and Family Services or other agencies related to chemical products and components of materials, drilling additives, well casing sealants and well abandonment materials.

This series may contain trade secret information provided by the manufacturer about the components or ingredients of the product. This information is kept confidential if a request for confidential status is granted by the Department under Wis. Stat. § 19.36(5) and Wis. Admin. Code § NR 2.19.

RETENTION: EVENT (Creation/date received) + 25 years and destroy confidential

<u>00089A00.</u>	<u>APPROVED PRODUCTS LIST</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Lists created to document products and equipment approved by DNR, for use by well and heat exchange contractors. Data is maintained in electronic spreadsheets and posted on a website. Lists are updated when new approvals are granted under #00089000.

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Superseded by updated list) and destroy.

00136000.	<u>SPECIAL INVESTIGATION STUDIES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records series covers groundwater and drinking water special investigation studies for multiple wells or geographic areas, including maps, data summaries, well owner correspondence and documentation needed to assure groundwater protection needed to protect drinking water. Studies may support administrative code requirements or provide background data to recommend extraordinary well construction requirements and/or additional investigations. To fullest extent possible, record of such studies should be incorporated into official file of rule promulgation, special casing and similar final decisions.

RETENTION: EVENT (Close of investigation, adoption of rule, special casing decision, transfer of test results to GRN system) + 10 years and destroy confidential

00138000.	<u>DRILLER/PUMP INSTALLER/RIG OPERATOR CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records series documents driller, pump installer and rig operator compliance with licensing requirements including license applications, applicant name and address, corporate status, partners, places of business, experience, qualifications and equipment. Records also include annual reports and enforcement actions, including license revocation and suspension orders, orders terminating suspension, hearings, court actions and prosecutions and related correspondence documenting compliance with Wis. Stat. Ch. 280. Licensing and registration data is entered into the ELC Oracle system.

Driller/Pump Installer/Rig Operator Continuing Education Processing Records (formerly 370/065A): Records series covers routine records related to continuing Education scheduling, location and attendance, including: DNR presentations and handouts, lists of individuals and firms scheduled to attend, handwritten notes, location of continuing education, and paper or electronic attendance lists. Other file material includes miscellaneous program design and summary sheets.

Note: File is closed if driller or pump installer or rig operator does not renew the license.

Retention: EVENT (Non-renewal) + 10 years and destroy confidential
(Note to staff: 5 yrs keep in office then 5 yrs at the State Record Center)

00380000.	<u>DRINKING WATER SYSTEM (DWS)</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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This series covers water quality chemical analyses data, including, lead and copper, nitrates sampling data in DWS.

DWS Bacteriological Analysis Data (formerly #00381): Record series covers the data collected in the Electronic Monthly Operation Report (EMOR) which includes paper and electronic documents and data regarding bacteriological analysis. This data is contained within the DWS for public water facilities per Federal regulations [40 CFR Part 142.14].

Public Water Systems Water Quality Sample Results (formerly #00383): Records series covers sample results from water supply systems. Water samples are sent to testing laboratories, and sampling results are submitted to the Department in hard copy. Records in this series cover results for water quality tests, including bacteriology, organic inorganic, and other samples. Beginning in 2002 these records also include lead and copper water quality sample results as submitted to the Department in hard copy by testing laboratories. Prior to 2002 lead and copper results were incorporated into water system case files. Results from hard copies are entered into DWS. Once data is entered and verified, paper copy is destroyed.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

Permanent Justification: State requirements for record retention are found in 40 CFR Part 142.14. Retention time is based on specific rule requirements. Federal drinking water rules are amended frequently (i.e. The arsenic standard was modified to 0.010 mg/L in 2001) and past monitoring results are needed to make management decisions on staffing and funding needs.

RETENTION: Permanent

00384B00.	<u>PUBLIC WATER SYSTEMS (PWS) PLANS AND SPECIFICATIONS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Records in this series include public water systems infrastructure improvements plans and specifications.

Paper records are received, scanned, verified and held for 90 days then destroyed confidentially.

Permanent Justification: DNR has ongoing research need for these records. Public water supply infrastructure can last 100+ years. It is important to retain construction plans and specifications for future use.

RETENTION: Permanent

00385000.	<u>ENGINEERING REPORTS - CONSTRUCTIONS PLANS AND SPECIFICATIONS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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Records in this series are Engineering Reports submitted by public water systems along with plans and specifications for construction of public water systems and wellhead protection plans. The plan review engineers regularly review engineering plans and specifications for a project for which an engineering report was submitted 8-10 years prior. Engineering reports may also be used for review of subsequent submittals of plans and specifications.

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Creation) + 10 years and destroy

<u>00386000.</u>	<u>PUBLIC WATER SYSTEMS FILES - MUNICIPAL, OTHER-THAN-MUNICIPAL (O1</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Series includes file documentation of municipal, Other-than-Municipal, and Non-Community (Non-Transient) public water systems and DNR system monitoring. Records include materials such as inspection reports, responses to inquiries, Notices of noncompliance (NON), Notices of Violation (NOV).

NR 809 NONs not involved in an enforcement action are included in #386B.

This series also includes lead and copper water quality sample results, as submitted to the Department in hard copy by testing laboratories prior to 2002.

Permanent Justification: State requirements for record retention are found in 40 CFR Part 142.14. Retention time is based on specific rule requirements. Federal drinking water rules are amended frequently (i.e. the arsenic standard was modified to 0.010 mg?L in the past 15 years) and past monitoring results are needed to make management decisions on staffing and funding needs.

RETENTION: Permanent

<u>00386A00.</u>	<u>PUBLIC WATER SYSTEMS FILES - MUNICIPAL, OTHER-THAN-MUNICIPAL (O1</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Series includes file documentation of municipal, Other-than-Municipal, and Non-Community (Non-Transient) public water systems and DNR system monitoring. Records include materials such as inspection reports, responses to inquiries, Notices of Noncompliance (NON), Notices of Violation (NOV). NR 809 NONs not involved in an enforcement action, are not included in this series.

This series also includes lead and copper water quality sample results, as submitted to the Department in hard copy by testing laboratories prior to 2002.

Paper documents are used by staff over a 5-year period - regardless of when microfilmed. These documents need to be microfilmed prior to destruction. Note: Once microfilmed, these are included in #386.

RETENTION: EVENT (Date submitted) + 5 years and destroy confidential provided microfilmed

<u>00386B00.</u>	<u>PUBLIC WATER SYSTEMS PROJECT FILES - MUNICIPAL, OTHER-THAN-MUN</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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Includes NR 809 NONs that are routine in nature and not involved in an enforcement action.

RETENTION: EVENT (Date submitted) + 12 years and destroy confidential

<u>00386C00.</u>	<u>PUBLIC WATER SYSTEMS PROJECT CASE FILES</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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Series includes file documentation of Municipal, Other-than-Municipal, and Non-Community (Non-Transient) public water systems and DNR system monitoring. Records include materials such as inspection reports, responses to inquiries, Notices of noncompliance (NON), Notices of Violation (NOV). Includes NR 809 NONs that are routine in nature and not involved in an enforcement action.

This series includes lead and copper water quality sample results, as submitted to the Department electronically. Hard copy water quality results submitted by testing laboratories are included in #386A.

RETENTION: EVENT (Date submitted) + 12 years and destroy confidential

<u>00387000.</u>	<u>NON-COMMUNITY (TRANSIENT) WATER SYSTEMS PROJECT FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Madison & Region: Records in this series include inspection reports, letters to/from systems, Notices of Noncompliance (NON), Notices of Violation (NOV). Excludes NR 809 NONs unless involved in an enforcement action. Each system is reviewed on a 5-year cycle.

This record series includes Region copies (formerly #00387A00).

Records in this series are not microfilmed.

RETENTION: EVENT (Date submitted) + 10 years and destroy confidential

<u>00387B00.</u>	<u>NON-COMMUNITY (TRANSIENT) WATER SYSTEMS PROJECT CASE FILES</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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Records in this series include Inspection reports, letters to/from systems, Notices of Noncompliance (NON), Notices of Violation (NOV). Excludes NR 809 NONs unless involved in an enforcement action. Each system is reviewed on a 5-year cycle.

This series includes lead and copper water quality sample results, as submitted to the Department electronically. Hard copy water quality results submitted by testing laboratories are included in #308.

RETENTION: EVENT (Date submitted) + 12 years and destroy

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00388A00.</u>	<u>PUMPAGE/TREATMENT REPORTS - MUNICIPAL WATER SUPPLY SYSTEMS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
	<p>Series includes monthly pumpage reports from municipal water supply systems and reports of chemical addition, softening, iron removal, surface water treatment. Paper records are received, microfilmed, verified and held until microfilm received and verified.</p> <p>After 2012, paper no longer used, customer enters directly into EMOR (DWS) which is part of #00380.</p> <p>Permanent Justification: Internal and external customers rely on municipal water supply system operation data to understand water use during droughts, dental health in fluoridated areas, and other complex drinking water related questions.</p> <p>RETENTION: Permanent</p>			
<u>00393000.</u>	<u>VULNERABILITY OR MONITORING ASSESSMENTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>Records series covers vulnerability assessments for municipal, other than municipal and non-transient non-community wells. Assessments include Wellhead protection/source water protection area and potential contamination sources. The data contained in this system is similar to that in SWAP but is updated annually in segments: Municipal is updated one year, the next year other than municipal, and then non-transient; at that point the cycle starts over.</p> <p>RETENTION: EVENT (Superseded by updated assessment) and destroy confidential</p>			
<u>00394000.</u>	<u>WELL ABANDONMENT REPORTS (WARS)</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	<p>Records in the series cover data keyed and scanned images of well abandonment reports. Prior to July 2006 well abandonment reports were scanned to digital images and certain fields were keyed into an on-line system for query purposes. Starting with July 2006 reports all abandonment report data are keyed into the same on-line system. Any paper reports will be destroyed once they are entered into the system and quality control checked. These reports are available to the public on DNR's website at: http://dnr.wi.gov/warsreport/report</p> <p>Justification: Electronic well construction data needs to be retained perpetually, throughout the period a well is active and after it is legally filled and sealed (decommissioned). Property owners regularly seek information about construction of wells on their property. Even after a well is closed, wells may have a continuing impact on the environment and water quality of the State. Well construction data is critical to protect public health and safety, and it has ongoing value to evaluate causes of drinking water quality problems, monitor drinking water and groundwater, investigate sources of contamination, and assess well construction methods and materials over time.</p> <p>RETENTION: Permanent</p>			
<u>00690000.</u>	<u>COUNTY WELL DELEGATION ORDINANCE APPROVED CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	<p>Records in this series include a version of each approved county ordinance; revised and updated ordinances; documentation of the Department review and approval process; and correspondence relevant to the ordinance. Records in this series have permanent value to the State. They document compliance with well delegation requirements and identify agreements for counties to assure drinking water quality and to protect public health and safety.</p> <p>Justification: The department reviews each county ordinance and program adopted to ascertain compliance with Wis. Stat. § 280.21.</p> <p>RETENTION: EVENT (County rescinds their ordinance) + 6 years & destroy confidential</p>			
<u>00691000.</u>	<u>COUNTY WELL DELEGATION ORDINANCE DENIED CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>Records in this series include ordinances submitted by counties that do not meet criteria for approval, including all relevant correspondence between the Department and the county.</p> <p>RETENTION: EVENT (Approval denied) + 10 years & destroy confidential</p>			
<u>00692000.</u>	<u>COUNTY WELL DELEGATION STAFF CERTIFICATION CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>Records document testing and certification of county inspectors who administer the program to meet requirements.</p> <p>RETENTION: EVENT (County inspector leaves or fails exam) + 10 years and destroy confidential</p>			
<u>00694000.</u>	<u>COUNTY WELL DELEGATION PROGRAM AUDITS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>Department personnel periodically review and audit each delegated county program for compliance.</p> <p>RETENTION: EVENT (Audit superseded) + 10 years & destroy confidential</p>			
<u>00695000.</u>	<u>COUNTY WELL DELEGATION ENFORCEMENT RECORDS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
	<p>The department may generate enforcement records if there is reasonable cause to believe that the ordinance or related enforcement program of the county is not in compliance or if the department determines that there are special circumstances requiring concurrent</p>			

Dept #: /042/ Department Name: DRINKING WATER & GROUNDWATER

RDA # RDA Title Retention Disposition PII

enforcement. DNR retains original paper reports for 6 years for enforcement purposes (well construction violations, driller criminal actions, evidence of fraudulent information, etc.).

RETENTION: EVENT (Creation) + 6 yrs and destroy confidential

00696000. COUNTY WELL DELEGATION SPECIAL MEETING CASE FILES EVT+3 DEST Y

Records document meetings between Department county personnel to address issues, resolve problems and improve county compliance with program requirements. Key information in this series is duplicated or referenced in the County Well Program Audits.

Retention: EVENT (Closed -- issue resolved or meeting end) + 3 years & destroy confidential

01156000. WELL CONSTRUCTION REPORTS - PAPER EVT+6 DEST Y

Since 1988, DNR enters Well Construction Report data into the WATR application a subset of the Drinking Water system (see RDA 00063B00). DNR retains original paper reports for 6 years for enforcement purposes (well construction violations, driller criminal actions, evidence of fraudulent information, etc.). Electronic data are used to manage well construction data permanently.

RETENTION: EVENT Report data entered into WATR system) + 6 years and destroy confidential

Dept #: /043/ Department Name: WATER QUALITY

RDA # RDA Title Retention Disposition PII

01174000. SURFACE WATER INTEGRATED MONITORING SYSTEM (SWIMS) P PERM Y

These records contain physical, biological and chemical information about water resources as well as management actions, reports and other documents. Monitoring data sheets are completed in the field and entered into the data base where the data will be stored permanently. Some additional water resources information resides in various field and program paper files that will be entered into SWIMS.

Note: Paper can be destroyed after entered into database and quality control checked.

Permanent Justification: DNR is identified as the custodian of State's water resources under the Water Resources Act. We have requests for this historical information for ongoing resource management and research needs. Rules are amended frequently, and complete background information is needed.

RETENTION: Permanent

01175000. AQUATIC PLANT MANAGEMENT (APM) PERMIT P PERM Y

Records in this series includes data from four forms which make up the applications and treatment records for APM.

- Chemical Aquatic Plant Control Application and Permit (Form 3200-004)
- Aquatic Plant Management Herbicide Treatment Record (Form 3200-111)
- Mechanical/Manual Aquatic Plant Control Application (Form 3200-113)
- Worksheet for Large-scale Chemical Aquatic Plant Treatment (Form 3200-004a)

This data is submitted electronically and on paper forms and entered into a Microsoft ACCESS database stored on a file share. Eventually these records will become part of SWIMS. Note: Paper can be destroyed after entered into database and quality control checked.

Permanent Justification: DNR is identified as the custodian of State's water resources under the Water Resources Act. We have requests for this historical information for ongoing resource management and research needs. Rules are amended frequently, and complete background information is needed.

RETENTION: Permanent

01176000. REGISTER OF WATERBODIES (ROW) P PERM N

Register of Waterbodies (ROW) is the inventory of surface waterbodies identified by DNR. This system contains unique waterbody identification code (WBIC) for each water body as well as basic information such as name, size, physical characteristics etc.

Note: Paper can be destroyed after entered into database and quality control checked.

Permanent Justification: DNR is identified as the custodian of State's water resources under the Water Resources Act. We have requests for this historical information for ongoing resource management and research needs. Rules are amended frequently, and complete background information is needed.

Dept #: /043/ Department Name: WATER QUALITY

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: Permanent

Dept #: /045/ Department Name: AIR MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
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<u>01203000.</u>	<u>ASBESTOS INSPECTION MATERIALS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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This record series consists of evaluations that result in an official determination of source compliance that will be maintained for 20 years from creation for the purpose of establishing a compliance history. Includes, but not limited to, the following: inspection evaluations, inspection contracts, field activity reports, case activity reports, digital media, photographs, chain of custody forms, and sample lab reports.

Lifecycle Language: The official record in this series may be transferred to or maintained in electronic/digital format for the full retention period. To comply with Wis. Stats. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents may be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 1 year and then destroyed.

RETENTION: EVENT (receipt or creation) + 20 years and destroy

Dept #: /046/ Department Name: WASTE MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
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<u>00035000.</u>	<u>WASTE MANAGEMENT FUND</u>	<u>EVT+60</u>	<u>DEST</u>	<u>N</u>
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Information pertaining to the waste management fund for long-term care and environmental repair, Wis. Stat. §§ 144.441, 144.442 (1978).

Information consists of:

- Waste management environmental repair fund certification, DNR form 4400-56 or its equivalent,
- Tonnage change letters for those facilities which reported tonnage with a decrease or increase of more than 10,000 within one billing year,
- Waste management environmental repair checklist/fee breakdown form, DNR form 4400-56a or its equivalent,
- Pertinent correspondence related to the payment or nonpayment of a facility's bill

Retention Justification: These records need to be kept for the site life and during the long-term care period which lasts up to 30 years after the site is closed. The department must calculate incoming versus outgoing funds to prove that these fees are (in)sufficient. Presently the legislative committee on the siting process is looking at the option of having the state return waste management fund fees collected from the landfills for the past ten years in order to eliminate the State's responsibility after long-term care. The department needs the legal documents to return the money to individual landfill owners if the legislative committee chooses this option. Some of the data will be automated and will be entered into the data system within two years after the data is generated.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date long term care requirements cease) + 60 years and destroy confidential

<u>00069000.</u>	<u>SOLID & HAZARDOUS WASTE SURVEYS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Questionnaires and/or surveys sent to owners or operators of solid and/or hazardous waste facilities to gather information and/or opinions on:

- Proposed departmental processing changes,
- Non-regulated matters pertaining to the facilities (e.g., liability insurance for solid waste facilities),
- Any information obtained from telephone surveys

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the

RDA #	RDA Title	Retention	Disposition	PII
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images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially

RETENTION: EVENT (Date all results gathered) + 10 years and destroy

<u>00072000.</u>	<u>COLLECTION & TRANSPORTATION SERVICES CASE FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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Information pertaining to collection and transportation entities to operate under the provisions of Wisconsin Stat. ch. 289, Wis. Admin. Code ch. NR 502.06 (solid waste), or Wis. Admin. Code ch. NR 663 (hazardous waste).

Information consists of:

- License applications,
- Renewal applications,
- Licenses
- Status change requests,
- Pertinent correspondence,

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Entity ceases operating) + 20 years and destroy confidential

<u>00077000.</u>	<u>SOLID WASTE MASTER FILE</u>	<u>EVT+80</u>	<u>SHSW</u>	<u>N</u>
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Information pertaining to licensed solid waste facilities--- landfills, air curtain destructors, incinerators, processing facilities, transfer facilities, storage facilities, and wood burning sites---operating under the provisions of Wis. Stat. ch. 289, Wis. Admin. Code chs. NR 500 - 520 (solid waste).

Information consists of:

- Feasibility studies,
- Plans of operations,
- Slides/photographs
- Blueprints
- Maps,- In-field conditions reports,
- Closure plans,
- Plan and report materials related to specific solid waste facilities,
- Pertinent correspondence,
- Solid waste facility license applications, DNR Form 4400-088, or its equivalent,
- Solid waste facility license renewal application,
- Solid waste facility operation license, DNR Form 4400-008, or its equivalent,
- Status change request, DNR Form 4400-077, or its equivalent

Retention Justification: Waste site information is needed to preserve the department's capability to provide, in the future, information regarding specific parcels of land which were regulated by the DNR as a landfill or other type of solid waste facility requiring long-term maintenance and monitoring. History of such land use can impact the environment and is important for future land use considerations. For this reason, the DNR must maintain this information so it can respond to inquiries about past DNR regulatory actions at these sites.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Event = Long term care requirements cease OR decision to not construct, whichever is later) + 80 years and transfer to WHS

<u>00085000.</u>	<u>UNLICENSED SOLID WASTE FACILITIES FILE</u>	<u>EVT+40</u>	<u>SHSW</u>	<u>N</u>
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Unlicensed Solid Waste Facilities File

Information pertaining to solid waste facilities--landfills, air curtain destructors, incinerators, processing facilities, transfer facilities, storage facilities, and wood burning sites--requesting to operate under the provisions of Wis. Stat. ch. 144 (1968), Wis. Admin. Code chs. NR 500 -520 (1968).

Information consists of:

- Feasibility,
- Plans of operation,
- In-field conditions reports,
- Closure plans,
- Miscellaneous plan and report cease.

RDA #	RDA Title	Retention	Disposition	PII
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- Pertinent correspondence,
- Material related to a particular solid waste facility

The landfill approval process takes 6-10 years to complete without Interruption. These facilities have submitted a feasibility report but Have not proceeded with licensing. However, the approval process could be resumed at any time and the information in this series would still be useful. Producing and reviewing these records is expensive for both the facility operator and the department of natural resources.

Waste site information is needed to preserve the department's capability to provide, in the future, information regarding specific parcels of land which were regulated by the DNR as a landfill or other type of solid waste facility requiring long-term maintenance and monitoring.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed

RETENTION: EVENT (Date facility ceases collecting waste or date long term care requirements cease) + 40 years and destroy

<u>00087000.</u>	<u>HAZARDOUS WASTE REVIEW PROGRAM - PAPER</u>	<u>EVT+80</u>	<u>DEST</u>	<u>N</u>
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Information pertaining to the hazardous waste facility review Program required by Wis. Admin. Code ch. NR 664 which includes:

- Pertinent correspondence,
- Feasibility studies,
- Plans of operations,
- Plan approvals/denials,
- Inspection reports,
- Applications and licenses,
- Orders and referrals

Retention Justification: Waste site information is needed to preserve the department's capability to provide, in the future, information regarding specific parcels of land which were regulated by the DNR as a hazardous waste facility requiring long-term maintenance and monitoring. History of such land use can impact the environment and is important for future land use considerations. For this reason, the DNR must maintain this information so it can respond to inquiries about past DNR regulatory actions at these sites.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date facility long term care requirements cease) + 80 years and destroy confidential

<u>00088000.</u>	<u>COMPLIANCE MONITORING AND EVALUATION LOG & ENFORCEMENT FILES</u>	<u>EVT+80</u>	<u>DEST</u>	<u>N</u>
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Information pertaining to the compliance monitoring and evaluation log (CMEL) forms required by 42 U.S.C. § 6930 and Wis. Stat. ch. 291.

Information includes:

- CMEL forms,
- Notices of violation,
- Notices of noncompliance,
- Letters of resolution,
- Pertinent correspondence.

Enforcement actions can be taken against a site at any time during its active life if groundwater contamination appears. Land disposal facilities have a 30-year long-term care period. If 80 years after the 30 year long-term care period, no contamination has occurred the records may be destroyed.

Retention Justification: Waste site information is needed to preserve the department's capability to provide, in the future, information regarding specific parcels of land which were regulated by the DNR as a hazardous waste or solid waste facility requiring long-term maintenance and monitoring. History of such land use can impact the environment and is important for future land use considerations. For this reason, the DNR must maintain this information so it can respond to inquiries about past DNR regulatory actions at these sites.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date facility long term care requirements cease) + 80 years and destroy confidential

<u>00164000.</u>	<u>HAZARDOUS WASTE - POLYCHLORINATED BIPHENYL (PCB) CASE FILES</u>	<u>EVT+80</u>	<u>DEST</u>	<u>N</u>
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Pertinent correspondence; PCB management checklist for compliance with Wis. Admin. Code ch. NR 157; inspection reports; electrical utilities PCB usage questionnaires; sample data; reports regarding management of PCB's and handling of wastes; site summaries; maps and diagrams; referrals, orders, affidavits and complaints. Information is collected per Wis. Stat. § 299.45.

Retention Justification: Waste site information is needed to preserve the department's capability to provide, in the future, information regarding specific parcels of land which were regulated by the DNR as a hazardous waste facility requiring long-term maintenance and monitoring. History of such land use can impact the environment and is important for future land use considerations. For this reason, the DNR must maintain this information so it can respond to inquiries about past DNR regulatory actions at these sites.

The official record may be maintained electronically for the full retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Case closed) + 80 years and destroy

<u>00430000.</u>	<u>SOLID WASTE LAND DISPOSAL / PLACEMENT CASE FILES</u>	<u>EVT+40</u>	<u>SHSW</u>	<u>N</u>
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This series applies only to solid waste landfills and other types of waste facilities or projects that dispose of, or place waste on, or in, the ground. Key information documents each facility's impact on the environment. Records are maintained to provide information in case of environmental impact at the site in the future.

- Solid waste landfills (active and closed),
- Construction and demolition waste landfills,
- Confined disposal facilities for sediment,
- Dredge disposal sites,
- Land spreading facilities,
- Beneficial use of high volume industrial waste projects under Wis. Stat. § 289.43(7), involving placement of waste on the land (prior to the existence of Wis. Admin. Code ch. NR 538),
- Low hazardous waste grant of exemption projects under Wis. Stat. § 289.43(8), involving waste placement on the land,
- One-time disposals,
- Abandoned landfills

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

- initial site reports,
- pre-feasibility reports,
- feasibility reports,
- plan of operation reports,
- closure and long-term care plans and cost estimates,
- financial assurance mechanisms,
- construction documentation reports,
- annual reports,
- plan modification requests including all plan sheets related to these documents,
- license applications and licenses,
- inspection forms and reports and related correspondence,
- approval letters,
- all documents related to public notices,
- photographs,
- all documents related to enforcement actions,
- all documents related to an environmental impact statement,
- closure notifications,
- plan review fees,
- license fees and tonnage fees billing and payment information,
- documents related to landfill operator certification requirements and all correspondence relating to these documents.

Groundwater Monitoring Case Files: Key documents related to environmental monitoring included, but are not limited to, the following:

- Private well notification letters - letters DNR sends to neighboring businesses and individuals notifying them of groundwater monitoring and/or gas data collected at their wells and any potential environmental impact to their properties.
- Exceedance reports from facilities - letter notifying the DNR that the facility exceeds groundwater or gas standards as required by Wis. Stat. ch. 160, and Wis. Admin. Code §§ NR 140.24 and 140.26. Note: environmental monitoring data is also submitted by each facility and incorporated into GEMS data.
- Gas and leachate monitoring reports and results.
- All correspondence relating to these documents.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and

RDA #	RDA Title	Retention	Disposition	PII
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retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Program decision that all long-term care requirements are met) + 40 years and transfer to WHS

<u>00431000.</u>	<u>SOLID WASTE PCB AND TREATMENT CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies only to management and disposal of PCB- contaminated wastes. Remediation of sites contaminated with PCBs are regulated by the Remediation & Redevelopment Program. Records and documents included in this series include guidance, public information sheets, and significant correspondence interpreting program compliance.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Program decision that all long-term care requirements are met) + 10 years and destroy confidential

<u>00433000.</u>	<u>CONSTRUCTION ON WASTE SITES CASE FILES</u>	<u>EVT+80</u>	<u>DEST</u>	<u>N</u>
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This series applies only to construction on waste sites. Key information documents each facility's impact on the environment.

Records are maintained to provide information in case of environmental impact at the site in the future.

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

- gas or groundwater monitoring,
- grant of exemption documentation,
- all correspondence relating to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially

RETENTION: EVENT (Program decision all regulatory requirements met)+ 80 years and destroy confidential

<u>00434000.</u>	<u>SOLID WASTE PROPOSED LANDFILL CASE FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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This series applies only to proposed solid waste landfills that were not approved. Records in this series include, but are not limited to, the following: initial site reports; pre-feasibility reports; feasibility reports; including plans sheets related to these reports; all documents related to public hearings and public notices; photographs; all documents related to an environmental impact statement; and all correspondence relating to these documents.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Last submittal date) + 20 years and destroy confidential

<u>00435000.</u>	<u>SOLID WASTE PROCESSING FACILITY CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies only to solid waste processing facilities. These facilities handle and process solid waste but do not dispose of it into the ground. When the site closes, closure includes an environmental assessment and closure report that identifies any remaining environmental quality concerns.

Sites under this record series include but are not limited to:

- Municipal solid waste combustors including medical waste combustors,
- Solid Waste Incinerators,
- Solid Waste Processing facilities - including tires and medical waste processors,
- Composting facilities,
- Wood burning facilities,
- Air curtain destructors,
- Solidification

Records and documents in this series include but are not limited to:

- initial site inspection forms,
- exemption requests,
- documents related to an environmental impact report or statement,
- plan of operation reports and plan sheets,
- closure cost estimates,
- financial assurance mechanisms,
- construction documentation reports and plan sheets,
- monitoring documentation,

RDA #	RDA Title	Retention	Disposition	PII
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- license applications and licenses,
- closure notification documents,
- approval documents,
- plan modification requests,
- inspection forms and reports
- documents and correspondence related to enforcement actions,
- photographs
- plan review fees and license fees billing and payment information,
- all correspondence related to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure) + 10 years & destroy confidential

00436000.	<u>SOLID WASTE STORAGE AND TRANSPORTATION FACILITY CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies only to solid waste facilities that generate and provide for temporary storage and/or transportation of solid waste, including:

- Solid Waste storage facilities - other than PCB's,
- Solid Waste transfer stations that handle solid waste

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

- initial site inspection forms,
- exemption requests,
- documents related to an environmental impact report or statement,
- plan of operation reports and plan sheets,
- closure cost estimates¹
- financial assurance mechanisms,
- construction documentation reports and plan sheets,
- monitoring documentation,
- license applications and licenses,
- closure notification documents, approval documents,
- plan modification requests,
- inspection forms and reports
- documents and correspondence related to enforcement actions,
- photographs
- plan review fees and license fees billing and payment information,
- all correspondence related to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure) + 10 years and destroy confidential

00437000.	<u>WASTE MANAGEMENT COMPLAINT FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Series includes correspondence and other materials received and generated related to complaints about management of solid or hazardous waste not specific to a regulated facility; and documents and correspondence related to enforcement actions associated with the complaints.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Complaint Close-Out date) + 10 years and destroy confidential

00438000.	<u>SOLID WASTE FACILITY OR HAZARDOUS WASTE CONTESTED CASE / INFO</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Records in this series include contested case hearing records and informational hearing records for solid waste or hazardous waste facilities under Wis. Stat §§ 289.27 and 289.26.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for

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authenticity, accuracy, and accessibility the original input documents requirements will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Hearing or facility closure, or date long term care requirements cease, whichever is later) + 5 years and destroy confidential

<u>00445000.</u>	<u>HAZARDOUS WASTE LAND DISPOSAL CASE FILES</u>	<u>EVT+80</u>	<u>DEST</u>	<u>N</u>
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This series applies only to hazardous waste land disposal facilities. Key information documents each facility's impact on the environment.

Records are maintained to provide information in case of environmental impact at the site in the future. Facilities included in this record series include operating and closed:

- Hazardous Waste Landfills,
- Hazardous Waste Surface Impoundments,
- Hazardous Waste Waste Piles,
- Hazardous Waste Miscellaneous Units

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

- initial site reports,
- Part A of the license application,
- variance requests,
- feasibility and plan of operation reports,
- closure and long-term care plans and cost estimates,
- financial assurance mechanisms,
- construction documentation reports,
- annual reports,
- plan modification requests including all plan sheets related to these documents,
- annual reports,
- license applications and licenses,
- inspection forms and reports and related correspondence,
- approval letters,
- documents related to public notices,
- photographs,
- all documents related to enforcement actions,
- all documents related to an environmental impact statement,
- closure notifications,
- plan review fees,
- license fees and tonnage fees billing and payment information,
- all correspondence relating to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure AND program decision that all long-term care requirements have been met) + 80 years and destroy confidential

<u>00446000.</u>	<u>HAZARDOUS WASTE TREATMENT OR STORAGE CASE FILES</u>	<u>EVT+80</u>	<u>DEST</u>	<u>N</u>
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This series applies only to hazardous waste facilities that treat or store hazardous waste.

- Incinerators,
- Boilers and Industrial Furnaces (BIF),
- Containers,
- Tanks,
- Exempt Treatment and Storage,
- Waste Piles,
- Containment Buildings,
- Miscellaneous Units,
- Universal waste destination facilities,
- Used oil processors

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

- initial site reports,
- Part A of the license application,
- variance requests,
- feasibility and plan of operation reports,
- closure plans and cost estimates,
- financial assurance mechanisms,
- construction documentation reports,
- annual reports

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- plan modification requests including all plan sheets related to these documents,
- annual reports,
- license applications and licenses,
- inspection forms and reports and related correspondence,
- approval letters,
- all documents related to public notices,
- all documents related to enforcement actions,
- all documents related to an environmental impact statement,
- closure notifications,
- plan review fees,
- license fees and tonnage fees billing and payment information,
- correspondence relating to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure) + 80 years and destroy confidential

<u>00447000.</u>	<u>HAZARDOUS WASTE PROPOSED SITE CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies only to proposed hazardous waste disposal, treatment or storage sites that were not approved or withdrew their application before completing the review process.

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

- initial site reports,
- Part A of the license application,
- feasibility and plan of operation reports,
- closure plans and cost estimates,
- construction documentation reports,
- annual reports,
- plan modification requests including all plan sheets related to these documents,
- license applications and licenses,
- inspection forms and reports and related correspondence,
- approval letters,
- all documents related to public notices,
- photographs,
- all documents related to enforcement actions,
- all documents related to an environmental impact statement,
- closure notifications,
- plan review fees,
- license fees and tonnage fees billing and payment information,
- all correspondence relating to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (last submittal date) + 10 years and destroy confidential

<u>00448000.</u>	<u>HAZARDOUS WASTE TRANSPORTERS AND TRANSFER FACILITIES FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies only to transporters of hazardous waste, universal waste and used oil and facilities that temporarily store hazardous waste in transit.

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

- documents related to obtaining an EPA identification number including EPA Form 8700-12,
- license applications and licenses,
- inspection forms and reports,
- documents and correspondence related to enforcement actions,
- photographs,
- license fee billing and payment information,
- all correspondence relating to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality

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of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure) + 10 years and destroy confidential

<u>00449000.</u>	<u>HAZARDOUS WASTE GENERATOR CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies only to hazardous waste facilities or persons that generate hazardous waste and universal waste handlers and used oil generators. Records in this series include, but are not limited to: documents related to obtaining an EPA identification number, including EPA Form 8700-12; hazardous waste annual report data and all associated correspondence; used oil biennial reports; inspection forms and reports; documents and correspondence related to enforcement actions; photographs; generator and manifest fee billing and payment information; and all correspondence relating to these documents. Any case which becomes a legal court case will be covered by the appropriate legal RDA.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Final program action) + 10 years and destroy confidential

<u>00450000.</u>	<u>HAZARDOUS WASTE EXEMPT FACILITIES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies to hazardous waste storage or treatment facilities whose activities are exempt from licensing, including universal waste and used oil facilities. Records in this series include the following:

- notification,
- correspondence regarding the exempt activity,
- photos,
- annual reports including certification documents,
- significant correspondence interpreting program compliance

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure or last submittal date) + 10 years and destroy confidential

<u>00451000.</u>	<u>MANIFESTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies to all records (including the manifest form EPA Form 8700-22) that document the transportation of hazardous wastes from the generation site to the final disposal. The documentation includes information identifying the quantity, waste type, origin and transportation of the waste to its final destination.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date of program receipt) + 10 years and destroy confidential

<u>00507000.</u>	<u>RESPONSIBLE UNIT FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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This series applies to individual responsible unit files filed by county. Records and documents in this series include annual reports, complaints, ordinances, public information documents, enforcement, inspections, program evaluations, initial program authorization and significant correspondence interpreting program compliance.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (End of RU participation in program) + 3 years and destroy confidential

<u>00508000.</u>	<u>MATERIAL RECOVERY FACILITY FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies to self-certified material recovery facilities (MRF). Records and documents in this series are annual reports, complaints, inspections, approvals and significant correspondence interpreting program compliance. NOTE: Refer to Solid Waste RDA 435 for compost and tire facilities.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure) + 10 years and destroy confidential

<u>0116000.</u>	<u>SOLID WASTE / RECYCLABLES TRANSPORTATION FACILITY CASE FILES (IN</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This series applies only to facilities that transport solid waste, recyclables or infectious waste.

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

- license applications and licenses,
- inspection forms and reports,
- documents and correspondence related to enforcement actions,
- photographs,
- license fee billing and payment information,
- documentation that recyclable materials have been delivered to brokers, processors or end users,
- written notice of termination of service,
- all correspondence relating to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure) + 10 years and destroy confidential

<u>0116100.</u>	<u>INFECTIOUS / MEDICAL WASTE GENERATOR ANNUAL REPORT CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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This series applies to all records relating to the Infectious Waste Annual Report and the Medical Waste Reduction Plans. Records in this series include, but are not limited to: infectious waste annual report forms; medical waste reduction policy and plans; medical waste reduction plan progress reports; medical waste audits; approval letters; documents related to infectious waste annual report fees and plan review fees; documents and correspondence related to enforcement actions; and all correspondence related to these records.

RETENTION: EVENT (Facility Closed) + 10 years and destroy confidential

<u>0116200.</u>	<u>PHARMACEUTICAL AND SHARPS COLLECTION STATIONS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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This series applies to all records associated with pharmaceutical and sharps collection stations including, but not limited to, collection station registration forms and all correspondence related to these forms.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT(Collection station closure) + 5 years and destroy confidential

<u>0116300.</u>	<u>BENEFICIAL USE OF INDUSTRIAL BY-PRODUCTS - CASE FILES</u>	<u>EVT+80</u>	<u>DEST</u>	<u>N</u>
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This series applies to records related to the Beneficial Use of Industrial By-Products regulated under Wis. Admin. Code, ch. NR 538.

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

- initial certification request,
- waste characterization results,
- analytical results,
- concurrence requests,
- case specific beneficial use requests (Wis. Stat. §§ 289.43(4), 289.43(7) and 289.43(8)),
- approval letters,
- conditional approval letters,
- all correspondence relating to these documents

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for

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authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date of program issued approval letter or date of program issued concurrence letter) + 80 years and destroy confidential

01164000. BENEFICIAL USE ANNUAL CERTIFICATION REPORTS EVT+5 DEST N

This series applies to records related to the annual certification reports required to be submitted by each generator of industrial by-products that have been beneficially re-used under Wis. Admin. Code ch. NR 538, and all correspondence relating to these documents.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Annual certification receipt date)+ 5 years and destroy confidential

01166000. FILE INVENTORY TRACKING EVT+1 DEST N

Records in this series include the file inventory tracking, which contains information on the physical location of the paper files for the Waste & Materials Management Program.

RETENTION: EVENT (Date data most recently superseded) +1 year and destroy

01167000. E-CYCLING FACILITY FILES EVT+10 DEST N

This series applies to electronics collection sites, electronics recycling facilities and electronics retailers. Documents in this series include, but are not limited to: annual report data and signature pages from that report; complaint response documentation; inspection forms and reports and related correspondence; closure plans and cost estimates; financial assurance mechanisms; liability insurance documentation, contingency plans; registration fee data and payment information; survey data; and all correspondence relating to these documents.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Site closure) + 10 years and destroy confidential

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00360000. SECRETARY SPEECHES, PRESENTATIONS, ETC. EVT SHSW Y

Records series contains significant final versions of speeches presented by the Secretary of the Department, the Deputy, Assistant Deputy Secretary or their representatives. Materials include, but are not limited to, speeches, presentations, background information on each speaking engagement, news clippings related to the event, etc.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. ADM 12: <http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (End of term) and transfer to WHS

00361000. SECRETARY'S POLICY CASE FILES EVT+20 SHSW Y

This series includes the selected policy files that are generated in the Office of the Secretary, by the Secretary, Deputy and Assistant Deputy Secretary. The series documents significant environmental quality or natural resources issues specifically documents the involvement of the Secretary's Office in particular policy issues and concerns during each Secretary's tenure in office. In the DNR Bureau Directors are responsible for creating official files to document Department policy for which the bureau has lead responsibilities. The Bureau policy file shall be included in bureau-specific retention schedules, separate from this series.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the

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standards & requirements for the management of electronic records outlined in Wis. Admin. Code ch. ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Closed-policy decisions made and actions implemented) + 20 years and transfer to WHS

<u>00362000.</u>	<u>SECRETARY'S CORRESPONDENCE AND NUMBERED LETTERS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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This records series includes paper documents received as the Secretary's numbered correspondence containing correspondence created by the Department Secretary, or for his signature, or in his name, or prepared for the Governor which are scanned into the current electronic system (SharePoint). Series also includes Secretary's Office correspondence that is not part of the numbered correspondence system. Records in this series are generated by the Secretary or representative.

The official record in electronic format will follow GRS ADM000009.

RETENTION: EVENT (Scanned & verified) + 3 months and destroy

Dept #: /082/ Department Name: LEGAL SERVICES

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<u>00170000.</u>	<u>LEGAL CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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All records series covers cases files created by Department of Natural Resources attorneys, other than specifically provided for below. Records document provision of legal opinions and services related to environmental and resource management cases. DNR Attorneys maintain case files that may include confidential attorney-client privilege records [Wis. Stat. §§ 19.35(1)(a) and 905.03]. DNR programs maintain selected enforcement records, and the Wisconsin Department of Justice maintains legal case files for certain cases. The DNR attorney records may duplicate other case files in part. Attorney files are maintained primarily for attorney-client and reference purposes.

RETENTION: EVENT (Case closed) + 5 years and destroy confidential

<u>00340000.</u>	<u>NATIVE AMERICAN OFF RESERVATION TREATY RIGHTS FORMAL AND INFO</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records series includes formal and informal intergovernmental agreements between DNR and the Tribes. Agreements may cover off reservation hunting, trapping, fishing, or gathering in the ceded territory and other resource agreements between DNR and the Tribes.

RETENTION: EVENT (All operative portions of the agreement are modified, replaced, or nullified) + 10 years and transfer to WHS

<u>00341000.</u>	<u>NATIVE AMERICAN OFF RESERVATION TREATY RIGHTS NEGOTIATION PRO</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records in this series provide background information related to formal and informal intergovernmental agreements and treaty rights decisions and judgments between DNR and the Tribes. Records document discussions, minutes of meetings, and other negotiations documentation related to financial aid and cooperative programs. Topics may include off reservation hunting, trapping, fishing, or gathering in the ceded territory and any other resource problems that may arise between DNR and the Tribes.

RETENTION: EVENT (All operative portions of agreement are modified, replaced, or nullified; or file is closed) + 10 years and transfer to WHS

<u>00342000.</u>	<u>CONFIDENTIAL - NATIVE AMERICAN OFF RESERVATION TREATY RIGHTS NE</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records in this series cover a sub- set of Off Reservation Treaty Rights Negotiation Process Case Files that are confidential under attorney-client privilege per Wis. Stat. § 905.03. Records in this series include attorney work product, minutes of internal strategy discussions, and negotiation discussion materials that the Tribes requested remain confidential. Only one set of confidential records is to be created and maintained.

RETENTION: EVENT (All operative portions of agreement are modified, replaced, or nullified; or file is closed) + 10 years and transfer to State Historical Society

<u>00343000.</u>	<u>NATIVE AMERICAN OFF RESERVATION TREATY RIGHTS DECISIONS AND JU</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records series includes off reservation final treaty rights decisions and judgments concerning the Tribes. Records in this series relate to litigation and formal court actions.

RETENTION: EVENT (All operative portions of agreement are modified, replaced, or nullified; or file is closed) + 10 years and transfer

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to WHS

<u>00344000.</u>	<u>NATIVE AMERICAN TREATY RIGHTS LITIGATION MATERIALS</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records in this series include, but are not limited to, expert reports, interrogatories, depositions, court transcripts, motions, briefs, and orders. These materials provide a history of DNR involvement in the litigation and will be needed if a final decision or judgment is challenged, in whole or in part, and the case is reopened for additional litigation..

RETENTION: EVENT (All operative portions of the decision or judgment are modified, replaced, or nullified) + 10 years and transfer to WHS

<u>00345000.</u>	<u>NATIVE AMERICAN POLICY CORRESPONDENCE</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records in this series include correspondence to and from DNR personnel covering policy development or interpretation of policy regarding off reservation tribal land use and environmental resources. Correspondence includes internal communications between DNR personnel and external correspondence to or from tribal members and non-tribal individuals and organizations. Topics may include, but are not limited to, off reservation treaty rights agreements, policy planning, case litigation, public protests, and news regarding environmental and resource issues of concern to the Tribes.

RETENTION: EVENT (File closed) + 10 years and transfer to State Historical Society

<u>00750000.</u>	<u>REHEARINGS - BLS REFERENCE FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Under Wis. Admin. Code, § NR 2.20, the DNR Secretary may be asked to review a Department decision or action. In rare cases, these rehearing requests are granted and are handled without involvement of the DOA Division of Hearings and Appeals.

After the file is closed and all appeal periods have expired, each DNR program maintains the complete case file (including rehearing record) with its program enforcement actions or legal case records (per program-specific RDA requirements).

This RDA covers only the DNR Bureau of Legal Services reference files for Secretary Rehearings.

RETENTION: EVENT (Case closed) + 5 years and destroy confidential

<u>00750A00.</u>	<u>CONTESTED CASE HEARING LOG AND REHEARING LOG</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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Records series identifies all petitions for hearing in contested cases, as authorized under Wis. Stat. § 227.42, and other program statutes. It also identifies all petitions for rehearing in contested cases, as authorized under Wis. Stat. §. 227.49 and Wis. Admin. Code § NR. 2.20. The Bureau of Legal Services tracks petitions.

RETENTION: EVENT (Creation) + 10 years and destroy confidential

<u>00751000.</u>	<u>SMALL CLAIMS CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records series covers small claims case files that the Department resolves through collection by demand letter, through the small claims court process, or after going to court through referral to the Dept. of Revenue's refund set off program. Collection actions may result from recovery of forest fire suppression charges, forest tax severance or yield tax charges, charges as a result of a spill cleanup, delinquent ALIS vendors and other miscellaneous amounts owed to the Dept. by law or contract. The file may include reports, invoice, demand letters, summons and complaints, judgments, satisfactions of judgments and other miscellaneous correspondence.

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

<u>00751A00.</u>	<u>SMALL CLAIMS FILES RESULTING IN JUDGMENTS: OFFICIAL COPY</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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The actual judgment issued for a small claims case and associated files.

RETENTION: EVENT (Judgment date) + 20 years and destroy confidential

<u>00751B00.</u>	<u>SMALL CLAIMS LOG & SUMMARY DATA ELECTRONIC FILE</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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This electronic files contains summary data of small claims cases including information on DNR active cases, active cases at DOJ & DOR, closed cases and totals in dollars spent, received and judgments.

RETENTION: Permanent

<u>00752000.</u>	<u>CONSERVATION CONGRESS EXECUTIVE AND COMMITTEE, & STUDY MEETI</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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The WCC holds the following meetings regularly: Executive Committee Meetings: The Executive Committee meets once per year in June and may call additional meetings as needed. Meeting issues include recommendations for study committee assignments. The Executive Committee generates a study committee listing with representative delegates from each district to address issues and assigned resolutions.

Executive Council Meetings: held twice per year in January, May. The Council may call additional meetings as needed. Actions include:

- January Executive Council meeting: Council approval of Department Spring Hearing questions. These become the work product for the Spring Hearing questionnaire.
 - May Executive Council meeting: Council reviews resolutions assigned and discussed at the annual convention, is informed by Department staff on the Spring Hearings, etc.

Study Committee Meetings: Study committees meet in the fall from August to December and additionally as needed to research issues and resolutions. Committees deal with such concerns as: Alternative Funding, Awards, Big Game, Bear, Warm Water, Trout, Upland Game, Rules & Resolutions, Legislative, Great Lakes, Endangered Resources & Law Enforcement, Mississippi River, Migratory, Fur Harvest, Environmental Practices, Turkey, Hunting with Dogs, Forestry & Parks and other committees as deemed necessary. Study committees revise the previous year resolutions and submit to the Executive Council in question format for the upcoming Spring Hearings. Resolutions authors are encouraged to attend the committee meeting to provide further insight to their resolution. Records include meeting minutes. Work products that these committees may generate include Spring Hearing questions and recommendations. Records in this series include WCC meeting minutes, agendas and relevant attachments for the council and committees. May include background information such as previous years' hunting, fishing and accident reports; other information that DNR staff may present; draft resolutions, summaries of comments received, etc. Currently, the Conservation Congress Coordinator maintains meeting minutes and agenda records in electronic format, generally in MSWord and/or PDF image. Records are maintained in DNR Legal Services Office, Madison.

Summary information related to these meetings is incorporated into the annual WCC Convention document. This series may include additional background, detailed information.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

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

<u>00753000.</u>	<u>SPRING COUNTY HEARINGS</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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Every April each county holds public hearings where the public is allowed to vote on Wisconsin Conservation Congress (WCC) questions that were previously submitted as resolutions by the public the previous Spring. The public is also allowed to submit new resolutions for county vote. If those new resolutions have a supporting vote at the county level those resolutions then move ahead to the Rules & Resolutions committee of the Congress for vote at the Annual Convention. In addition the public has the opportunity to nominate a citizen, (non-Department staff) for re-election or new election and to vote on the county representative to the Conservation Congress. Records in this series include:

- *DNR Annual Statewide Spring Fish & Wildlife Rule Hearings/WCC Annual County Meetings
- *Comment sheets from fisheries, wildlife, etc.,
- *Election sheets from the delegate election process - summary of election results
- *Summary information: results of public input - balloted votes related to resolutions.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Hearing date) + 3 years and transfer to WHS

<u>00754000.</u>	<u>VOTING BALLOT PUBLIC INPUT</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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The WCC captures votes for WCC delegate elections and public input on resolutions using voting machine ballots. Extensive public input, between 6,000 to 10,000 ballots, may be captured using this process at each event. Voting machines compute votes and summarize ballots cast for delegates and WCC resolutions. Print-out results summarize decisions made soon after all ballots are cast. As a courtesy, the WCC maintains voting records for a minimal period of time, for the purpose of challenging the summary information. The ballots are held with the local hearing officer (in each county) but destroyed after 30 days.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Ballots read & results recorded) + 30 days and destroy

<u>00755000.</u>	<u>CONSERVATION CONGRESS MEMBERSHIP ROSTER DATA & INFORMATION</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
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Records in this series cover logistical, personal and biographical information about Conservation Congress elected members from each of Wisconsin's 72 counties. The series also identifies members of WCC Executive Council, Executive Committee, and Study Committee and their tenures in office. Includes key identifying information for each member: name, address, contact information, county, Conservation Congress appointments or elected positions, dates of service. Members voluntarily submit their own personal and biographical information on from Personal History Questionnaires. Separate Access database is maintained.

The WCC maintains member data identifying all Conservation Congress delegates for each year in an MS Access database. Data are updated annually with member and contact information changes, deletions, additions and updates, and current data may also be provided to the WDNR unit responsible for Environmental & Recreational Sponsorship/Partner Master Data (RDA 370/00618). The WCC lists summary delegate and member information in the WCC Annual Convention Booklet yearly. This records series includes additional member information and data that is maintained over time for administrative and reference purposes.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:

RDA #	RDA Title	Retention	Disposition	PII
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<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Membership expires or is terminated) + 50 years and transfer to WHS

<u>00756000.</u>	<u>ANNUAL CONSERVATION CONGRESS CONVENTION BOOK</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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The annual Conservation Congress Convention is a 3-day event that brings together all delegates throughout the state to review committee reports from the previous year, review and discuss the Spring Hearing results and new resolutions. Department staff members provide updates on Wildlife, Land, Forestry, Law Enforcement and other items that have taken place over the previous year as needed. The Rules and Resolutions committee discusses and assigns new resolutions to committee. Records include:

- Statewide Convention Agenda
- Annual Statewide Spring Hearing Results
- Annual County Resolution Summary & County Resolutions from Spring County Hearings
- Agendas and meeting minutes from WCC Executive, Committee, Study Committees. Includes resolutions, committee reports, recommendations and summary work products including resolution assignments.
- Meeting minutes from previous annual convention
- Delegate Listing & Delegates elected to Executive Committee and Executive Council.
- Congress Code of Procedures
- WCC statement of purpose, and other organizational materials
- Club List: names, addresses and contact for current conservation clubs, associations and partners.

The document is distributed to WCC members in paper or electronic format prior to each annual convention, and it is also made available to interested parties via the DNR web site.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:

<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Meeting date) + 3 years and transfer to WHS

<u>00757000.</u>	<u>WCC RECOGNITION AWARDS MATERIALS</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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The Wisconsin Conservation Congress (WCC) promotes conservation awareness by recognizing statewide groups, local organizations, and educators that are active in promoting conservation education and training, habitat enhancement, recreation activities, outdoor recreation access and non-conservation community service projects. Annual recognition awards include:

- Local Conservation Club of the Year Award: intended to recognize Wisconsin conservation clubs that dedicate themselves to conservation education and training, habitat enhancement, recreation activities, outdoor recreation access and non-conservation community service projects to help maintain Wisconsin's natural resources and environment. Through this award the Conservation Congress will recognize the many hours of service, the number of individuals who have been impacted and the numerous opportunities that have been developed by Wisconsin's local conservation clubs.
- Statewide Conservation Organization of the Year Award: To recognize Wisconsin organization who has dedicate themselves to conservation and conservation education activities and projects throughout the state to include habitat development, youth fishing clinics, scholarships, access points, hunter education, etc. Through this award the Conservation Congress will recognize the many hours of service, the number of individuals who have been impacted and the numerous opportunities that have been developed by this organization.
- Conservation Educator of the Year Award: Conservation Educator of the Year Award is intended to recognize Wisconsin conservationists who dedicate themselves to educating others about the wise use and conservation of Wisconsin's natural resources and environment. Through this award the Conservation Congress will recognize the many hours of service, the number of individuals who have been impacted and the numerous programs which have been developed by Wisconsin's conservation educators.

Records document all nominees for awards, the process used to evaluate nominees' qualifications and select award winners and award ceremonies.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:

<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>.

RETENTION: EVENT (Date of award) + 5 years and transfer to WHS

<u>00758000.</u>	<u>THE CONSERVATION CHRONICLE</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
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The WCC issues the Conservation Chronicle as a public document semi-annually, in February and August. The Chronicle provides conservation information, news related to the WCC convention, meetings and other activities, information about outdoor activities in Wisconsin, WCC delegate profiles and other information of interest to conservationists and WCC members.

The DNR makes the Chronicle available to WCC members and others in paper format. Recent issues are available on the DNR Internet page.

RETENTION: EVENT (Publication date) + 50 years and transfer to WHS

<u>01159000.</u>	<u>LITIGATION CASE FILES - PRECEDENT SETTING OR HISTORICALLY SIGNIFI</u>	<u>EVT+20</u>	<u>SHSW</u>	<u>Y</u>
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Litigation Case Files that are determined by the DNR Legal Counsel which document historically significant or precedent setting activities or events within the agency.

Dept #: /082/ Department Name: LEGAL SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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Note: Wisconsin Historical Archives staff are available to provide assistance in determining which cases may be precedent setting or historically significant and therefore considered for transfer to the Wisconsin Historical Society (WHS) by the DNR.

*Confidential / Access Restricted: For those records that fall within the rules of privilege as defined by Wis. Stats. §§804.01; 905.03; 905.09; 905.10; or other applicable confidentiality rules based on content, privilege or attorney work product.

RETENTION: EVENT (Date file is closed) + 20 years and transfer to WHS

Dept #: /090/ Department Name: CUSTOMER AND OUTREACH SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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<u>00548000.</u>	<u>FISH AND WILDLIFE LICENSES/APPROVAL RECEIPTS - ALIS AGENTS AND D</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
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Records series covers approval receipt stubs for all licenses issued through the ALIS system under Chapter 29, Wis. Stats. ALIS agents are contractually obligated to keep all receipts/records of sold approvals on file and to provide records to the Legislative Audit Bureau and the DNR Bureau of Law Enforcement upon request. Approval records document license sales for auditing purposes and also serve as a source document from license applicants, supplementing the data entered into the ALIS database. Agents are required by contract to maintain receipts for two years after year created.

RETENTION: EVENT (Creation) + 2 years and destroy

<u>00548A00.</u>	<u>FISH AND WILDLIFE LICENSES/APPROVALS - VOIDED</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
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ALIS agents are required to return voided license approvals to the Department to be issued a credit and for auditing purposes. Voided documents verify credit given for license sales.

RETENTION: EVENT (Creation) + 2 years and destroy

<u>00549000.</u>	<u>SPECIAL HUNTING PERMIT APPLICATIONS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Special Permitting by the Department of Natural Resources is authorized under Chapter 29, Wisconsin Stats and under Administrative Code NR 10. Special Permit programs issue permits based on a continuous preference system. The data elements for each permit application include name, address, date of birth, telephone number, and may also include pertinent landowner information. Types of Permits Available: Hunter's Choice/Bonus, Goose, Sharp-tailed Grouse, Bobcat, Otter, Fisher, Bear, Spring Turkey, and Fall Turkey. Series includes applications for Spring Wild Turkey Hunt for People with Disabilities.

The applicant submits the permit application on a paper form. The data from that form is entered into a separate database application (RDA # 540) for each type of permit. The paper permits are then digitally imaged and stored on a CD-ROM and/or other available media. The service contractor maintains the original paper applications after digitizing throughout the hunting season.

RETENTION: EVENT (End of season) and destroy

<u>00549A00.</u>	<u>SPECIAL HUNTING PERMIT APPLICATIONS - DIGITIZED</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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The imaged application, stored on CD-ROM or other appropriate medium, is captured via scanner and passed through the VirtualReScan electronic quality-control process before storage. These images are used to ensure quicker access to the information, and for possible investigative purposes by the Bureaus of Law Enforcement and Customer Service & Licensing. The imaged application may be accessed if needed for reference purposes.

RETENTION: EVENT (Creation) + 5 years and destroy

Dept #: /093/ Department Name: OFFICE OF COMMUNICATION

RDA #	RDA Title	Retention	Disposition	PII
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<u>00001000.</u>	<u>DNR INFORMATION & EDUCATION AUDIO-VISUAL PRODUCTION MATERIAL</u>	<u>P</u>	<u>PERM</u>	
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Original production materials (footage) for 16mm films and videotapes. Much of the footage is timeless, containing scenes from the DNR television series, and scenes of birds, animals and outdoor recreation possibly useful in future audio-visual productions. The DNR Bureau of Information and Education will review these films and videotapes regularly, duplicating any needed scenes on videotape and retaining the original footage as long as the medium survives.

Dept #: /093/ Department Name: OFFICE OF COMMUNICATION

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: Permanent

<u>00011000.</u>	<u>PHOTOGRAPHS AND SLIDES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Digital photos, color and black and white 35mm, 2-1/4"x2-1/4" and 4"x5" slides, photographs and negatives of outdoor scenes, department personnel and equipment, environmental and conservation violations, special effects graphics etc.

These records are now scanned into an electronic file and the original format is destroyed (or sent to WHS). Once scanned, they are cataloged and maintained by personnel from the Office of Communications and used on a continuous basis in publications, exhibits, and slide shows for public viewing, decision-making, training and documentation. There are several files cabinets of slides & photos that have been or in the process of being scanned and digitized for use by both internal and external customers.

OC receives requests for and by digitizing thru Photo Shelter, customers, internal and external, will be able to request photos and will be billed a minimal fee. Actual photos kept on site then sent to Historical Society for preservation or discarding.

RETENTION: Permanent

<u>00504000.</u>	<u>WISCONSIN DNR OUTDOOR REPORT AND NEWS RELEASES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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This series contains written or recorded communications directed at members of the news media for the purpose of announcing DNR news information with news value. This is one of the few remaining historical avenues the department has to chronicle history of the agency. This information is sent to public media types, i.e. radio stations, newspapers and TV stations. Much archiving has been done in house electronically and there may be some paper copies still around.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

Permanent Justification: DNR has ongoing requests for these records. These records provide historical background information regarding the agency's procedures and evolution. Permanent record shall be available in some format; the original record format may be digitized and then discard.

RETENTION: Permanent

Dept #: /095/ Department Name: ENVIRONMENTAL ANALYSIS & SUSTAINABILITY

RDA #	RDA Title	Retention	Disposition	PII
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<u>00190000.</u>	<u>LABORATORY CERTIFICATION CERTIFICATES/APPLICATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records series includes, but is not limited, to the following:

- Application materials including application for certification/registration, cover letter, Limit of Detection (LOD) data, initial demonstration data, and copy of application review letter from the department and initial reference sample results required for approval.
- Certificate materials including certificate, transmittal letter, correspondence from labs in regard to problems with the certificate.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Date certified or denied) + 10 years and destroy

<u>00191000.</u>	<u>LABORATORY CERTIFICATION PT SAMPLES</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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Records series includes but is not limited to: PT sample forms used by the State Lab of Hygiene, EPA or approved commercial suppliers to collect reference sample data. Series includes PT sample final reports, correspondence between labs and the department regarding failure of PT samples. Laboratories are required to submit PT samples annually.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Creation) + 3 years and destroy

<u>00192000.</u>	<u>LABORATORY AUDITS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Program personnel in central office or regions conduct audits for each lab every 3 years. Records series includes, but is not limited to: audit appointment letter, audit report, laboratory response to audit, data submittal files, data reviews and follow-up responses. The office that conducted the laboratory audit retains the official copy of record.

RDA #	RDA Title	Retention	Disposition	PII
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Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Audit closed) + 10 years and destroy

<u>00193000.</u>	<u>LABORATORY QUALIFICATION STATEMENTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series includes resumes and other materials used by laboratories to document qualifications for individuals qualified to perform certain laboratory tests. Records in this series apply only to bio-monitoring and drinking water labs. Qualifications are determined by EPA requirements and in Laboratory Certification Administrative Rules. Madison Central office maintains records for as long as the individual works at the particular lab. After individuals leave employment with particular labs, qualification statements are no longer relevant. DNR staff may identify obsolete statements during laboratory audits, or when replacement qualification statements are submitted. Labs are required to maintain these statements documenting qualifications of staff. DNR personnel audit these materials during on-site evaluations.

RETENTION: EVENT (Qualifying individual leaves lab) and destroy

<u>00194000.</u>	<u>LABORATORY CERTIFICATION QUALITY MANUALS AND SOP (STANDARD O</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Records series includes plans that laboratories are required to file with the department, and update as revised or amended. Includes, but is not limited to, Quality Assurance Plans, Standard Operating Procedures (SOP's) that detail methodologies used in testing samples.

Confidential: Per § 144.95(7) (b) 3.b., laboratories may request confidential treatment of certain data or information relating to unique methods of processes if the disclosure of those methods or processes would tend to adversely affect the competitive position of the laboratory.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded by revised plan or sop) and destroy

<u>00195000.</u>	<u>LABORATORY CERTIFICATION ENFORCEMENT ACTION CASE FILES</u>	<u>EVT+15</u>	<u>DEST</u>	<u>Y</u>
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Records series includes enforcement action cases that the department initiates against laboratories for failure to comply with criteria and procedures for certification/registration, as outlined in Administrative Rule NR 149. Series covers the following:
 - Notice of Non-Compliance (NON),
 - Notice of Violation (NOV),

Series also includes detailed documentation of the laboratory's failure to comply with requirements and deficiencies: copies of laboratory audits, reference samples, quality assurance plans, SOP's or other methodologies used; and copies of notices and Orders.

Series may also include copies of hearing records. Notices and Orders only are maintained in a separate records series, RDA # 370/00196.

Copies of enforcement actions that entail administrative review may also be filed with the Division of Hearing and Appeals, Department of Administration (DOA). If enforcement actions involve prosecution or judicial review, copies of documents may be filed with the Wisconsin Department of Justice and/or the Wisconsin Courts System.

Madison Central Office or the region assigned to conduct the enforcement action retains the official copy of the record.

RETENTION: Event (Case closed) + 15 years and destroy

<u>00196000.</u>	<u>LABORATORY CERTIFICATION NOTICES AND ORDERS OF REVOCATION</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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DNR Laboratory Certification may be revoked under § 299.11 (8), Wis. Stats. Records series includes Notices (NON and NOV) and Orders of Revocation for failure to comply with certification and/or for deficiencies. This series consists of orders only.

Laboratory Certification Enforcement Action Case Files provide detailed documentation of the action. Details regarding the enforcement action are in RDA #370/00195.

Permanent Justification: The Department needs to maintain copies of the orders only to have summary information about the particular laboratory's history of compliance violations. Notices and orders provide the basis for reinstating labs in the future and/or denying certification in the future. Records provide background information to justify decisions; target compliance concerns; monitor labs with known problems; and ensure Department carries out mandated laboratory oversight responsibilities.

RETENTION: Permanent at Madison Central Office

<u>00197000.</u>	<u>LABORATORY CERTIFICATION TRACKING SYSTEM DATA FILE - ELECTRONI</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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The Laboratory Certification Tracking System is a relational database with a menu-driven program that provides information about the

RDA #	RDA Title	Retention	Disposition	PII
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status of laboratories participating in the certification program. The system is divided into the following functions:

- Administrative: Includes basic information about the laboratory location, contacts, application submittal date, tests, methods, test categories, fees, PT sample results, and certification status. A portion of the system is devoted to a listing of reciprocity agreements and tracking laboratories whose certification is recognized under reciprocity. Data also includes certification renewal information.
 - Evaluations: Evaluations data is generated as a result of an application (or group of applications), routine inspection cycle, or enforcement. Includes details about an audit, including auditor, audit date, audit issuance, response deadlines and test categories. Enforcement data includes notice of noncompliance, notice of violation, revocation or suspension orders, cases referred to DOJ (Justice) and cases referred to EPA, type of enforcement action and status of action.
 - Reporting: Includes programs for generating certificates and specific, formatted reports: Commercial Lab Report, Scheduling! Assignment Report. Other reports? Customized reports may be generated using SQL assist. The program, written in Oracle, is set up on the DNR network.
- Madison Central office: Retain complete laboratory information for as long as the lab is in business that is regulated by the program. Delete data only for labs that close. Labs close either by failing to complete the application process, or by ceasing testing under this program.

Electronic Records Note: In order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Lab certification non-renewal or withdrawal) + 10 years and destroy

<u>00198000.</u>	<u>LABORATORY CERTIFICATION OUTPUT REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series includes reports generated from the Laboratory Certification Tracking File, including, but not limited to the following:

- Commercial Lab Report,
- Monthly reports to program staff and Section Chief on program performance.
- Ad hoc reports generated as needed or in response to inquiries
- The program produces quarterly reports for the LabCert Standards Review Council.

Reports are distributed electronically or in paper format. Reports have no ongoing value since they may be regenerated readily as needed.

Electronic Records Note: in order to safeguard the information contained in these records, all electronic records must meet the standards & requirements for the management of electronic records outlined in Chapter ADM 12:
<http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf>

RETENTION: EVENT (Superseded by next report or no longer needed) and destroy

<u>00200000.</u>	<u>LABORATORY CERTIFICATION OPERATIONAL PROCEDURES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records series includes complete and current directions and procedures for implementing the Laboratory Certification program in the DNR, including procedures for accessing information in the Laboratory Certification Tracking system. Laboratory Certification staff, in the Madison central office and in Districts, rely on procedures for consistent program implementation and application of laws and requirements.

Series includes, but is not limited to, procedures for various tasks associated with the program, including filing and retrieval, access to information in the electronic system, audit guidelines information security.

RETENTION: EVENT (Superseded) and destroy

<u>00487000.</u>	<u>METALLIC MINING PROGRAM CASE FILES (INCLUDES FERROUS AND NON-F P</u>	<u>PERM</u>	<u>Y</u>
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Records include materials related to permitting, operation and reclamation of metallic mining operations that were not in existence before 1974. Records and documents in this series include: permitting documents including notice of intent, application materials; reclamation plans and reports; inspection reports; environmental monitoring data; annual reports; environmental impact statements; news clippings; photos; and, significant correspondence interpreting program compliance. Includes non-ferrous mineral prospecting and ferrous mineral bulk sampling projects.

Mining Contested Case/Informational Hearings (Includes Ferrous and Non-Ferrous Mining) (formerly #00492): Records in this series include contested case hearing records or public hearings records for any mining facility.

Permanent retention in the Department is required to continue to meet its regulatory and public interest obligations. Mining is a special regulatory issue that will continue to require ongoing monitoring over time whether or not mines are permitted.

RETENTION: Permanent

<u>00488000.</u>	<u>NON-CONFORMING METALLIC MINING CASE FILES</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Records include material related to the five metallic mining sites that were in operation at the time of adoption of the State's first comprehensive Mine Reclamation Law. Sites included were: Jackson County Iron Company and the 4 Inspiration Mines, Inc. sites, Shullsburg, Bearhole, Crawhall and Elmo #3. Records and documents in this series include: permitting documents; application materials; reclamation plans and reports; inspection reports; news clippings; photos; and, significant correspondence interpreting program compliance. DNR program staff are responsible for tracking RDA retention disposition events.

RETENTION: EVENT (Close of mine plus bond release if required) + 10 years and transfer to WHS

Dept #: /095/ Department Name: ENVIRONMENTAL ANALYSIS & SUSTAINABILITY

RDA # RDA Title Retention Disposition PII

00489000. **METALLIC MINING EXPLORATION FILES (INCLUDES FERROUS AND NON-FE** **EVT+5** **SHSW** **Y**

Files contain information regarding metallic mineral and oil and gas exploration in the state. Records and documents in this series include: Metallic mineral exploration: license application (annual renewal), notices of intent to explore, submittals, and significant correspondence interpreting program compliance.

Oil and gas exploration: license application (annual renewal), notices of intent to explore, drilling plan approval submittals, significant correspondence interpreting program compliance, environmental assessment and informational hearings.

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

00490000. **METALLIC MINING EXPLORATION DRILLHOLE LOCATION AND ABANDONME** **P** **PERM** **Y**

Records in this series include exploration drillhole location and abandonment status files for metallic mineral and oil and gas exploration.

File Tracking and Monitoring Data Files (formerly 00485000.): Records also include a catalog of correspondence/documents from Exxon, Nicolet Minerals and Noranda-Lynne projects (currently in Access).

Mining is a special regulatory issue that will continue to require ongoing monitoring over time whether or not mines are permitted.

Permanent retention in the Department is required for the Department to continue to meet its regulatory and public interest obligations.

RETENTION: Permanent

00491000. **NON-METALLIC MINING MASTER FILES - NON-DNR REGULATORY AUTHORI** **EVT+20** **SHSW** **Y**

Counties and some towns administer a non-metallic mining reclamation program in their jurisdiction. Records in this series include: local ordinances, audit reports, annual reports, and significant correspondence interpreting program compliance.

Non-metallic Mining Annual Report Data (formerly 00481000.): Records in this series also include information included in the regulatory authority's (municipalities and counties) annual report required to be submitted to the Department. This includes the number of nonmetallic mining permits, number of acres approved for nonmetallic mining, number of acres being mined or unreclaimed acres, number of acres that have been reclaimed and records about fees submitted for unreclaimed acres.

RETENTION: EVENT (Date of initial Regulatory Authority audit) + 20 years and transfer to WHS

00491A00. **NON-METALLIC MINING COUNTY MASTER FILES - DNR REGULATORY AUTH** **EVT+20** **SHSW** **Y**

DNR assumes regulatory authority if a county or local program is found to be inadequate. Records include: local ordinances, audit reports, annual reports, site specific submittals such as financial assurance, permit applications, permits and reclamation plans and significant correspondence interpreting program compliance.

DNR program staff are responsible for tracking RDA retention disposition events.

RETENTION: EVENT (Close of project and financial assurance mechanism release) + 20 yrs and transfer to WHS

00493000. **MINING POLICY DOCUMENTATION (INCLUDES FERROUS AND NON-FERROU** **EVT+10** **SHSW** **N**

Records in this series include documents on program development, direction and compliance such as strategic direction, public comments, bill analysis and guidance documents.

NOTE: other key policy records are covered in DNR-wide records schedule of Administrative Rules - Board Orders.

RETENTION: EVENT (Policy decisions superseded) + 10 years and transfer to WHS

00495000. **MINING PUBLIC INFORMATION MATERIALS (INCLUDES FERROUS AND NON-** **EVT+3** **SHSW** **N**

Records in this series include publications developed for general outreach, technical papers, newsletters, press releases, fact sheets and notices (also includes web materials on intranet and internet that are not duplicates of media materials).

RETENTION: EVENT (Superseded by updated materials) + 3 years and transfer to WHS

Dept #: /118/ Department Name: FACILITIES AND LANDS (ENGINEERING)

RDA # RDA Title Retention Disposition PII

