410-CORRECTIONS

Dept # *Department Name*

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*

00001000. **OFFENDER HEALTH CARE RECORDS** **EVT+11** **DEST** **Y**

Records consist of individual identifying confidential document files including health records, for those in Division of Adult Institutions (DAI) and Division of Juvenile Corrections (DJC) facilities. Records created by, or under the supervision of, health care providers, identify and address the medical, dental, mental health, and alcohol and drug abuse of those individuals. Records may include, but are not limited to, medical chart, patient request folder, psychological records envelope, psychological services unit record, and dental record. It also includes forms used by patients to communicate with health staff, including health service, dental service and psychological service request forms. Some offenders also have a Medications Record envelope and/or a Psychological Services Unit Record – Alcohol and Other Drug Abuse (AODA) envelope. Records also document requests for health care by patients, identification of needs and health care conditions of patients, and the provision of health care to those patients with the goal of ensuring that the Department of Corrections provides appropriate and needed health care to patients.

Records may also include, but are not limited to: Prescriber's Orders, EKG/ECG Reports, Immunization Records, Positive Tuberculosis test result report, Consultation Records of non-DOC providers, the last 12 months of Progress Notes, most recent Intake Screening/Medical History, Psychiatric Reports, most recent problem list, dental records, Psychological Services Unit Record and documents pertaining to an inmate who dies during incarceration, or for whom litigation is pending. Confidential per: 42 C.F.R. pt. 2, 45 C.F.R. pts 160 and 164; Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.38, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 252.15, Wis. Stat. § 303.388, Wis. Stat. § 938.78, Wis. Stat. § 950.04(1v), Wis. Stat. § 972.15.

Event is the date of release from DAI incarceration or DJC Commitment.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 11 years and destroy confidential

00003000. **INFORMATION FOR INMATES, OFFENDERS, STUDENTS, STAFF, VISITORS, C** **EVT+60** **DEST** **N**

CONTENT: Department of Correction's handout, handbook, booklet, information, instruction, notice or other items created for inmates, offenders, students, or staffs that provide information on a variety of topics. The Forms Compliance Officer retains the original.

PURPOSE: This record series provides information to inmates, offenders, students, staff, visitors, or the public regarding DOC practices. These do not contain any inmate,
offender, student or staff information and are for information purposes only.

Retention: Event+ 60 years. Event is date each edition is created, revised, obsolete or no longer used.

Change in Retention from 75 years to 60 years was determined after reevaluating this RDA for use with all DOC similar records. The forms include but are not limited to:
- ALL DOC Forms that begin with "POC"
- All DOC Forms are instructions

CONFIDENTIAL: None

RETENTION: EVENT (Date each edition is created, revised, obsolete or no longer used) + 60 years and destroy

00009000. **LITIGATION & REPRESENTATION** **EVT+10** **DEST** **N**

Purpose: This record series identifies the retention period and disposition for litigation and representation records after the Office of Legal Counsel closes a matter. The office creates a litigation case file in either paper or electronic/digital format for each litigation or representation matter. The case remains open until the litigation is closed in the tribunal or when a pre-litigation case is closed due to inactivity. Thereafter, the office closes the matter.

Content: Records include any office record pertaining to representation of the Department of Corrections or its officials or employees in any pre-litigation, litigation, or appeal. Litigation and representation records include employment, inmate, offender, and any other litigation records originally created or retained by the office. The litigator may be an attorney in the office or any attorney at the Department of Justice, Department of Administration, private counsel,and any other litigator. The litigation may be in any tribunal, such as the Claims Board, small claims court, Division of Hearings & Appeals, Equal Employment Opportunity Commission, Equal Rights Division, Labor & Industry Review Commission, Wisconsin Employment Relations Commission, state circuit court, state court of appeals, Wisconsin Supreme Court, U.S. District Court, U.S. Court of Appeals, or Supreme Court. Records include communication received by the office from officials and employees about litigation and representation, including communication received about potential litigation. Records include attorney work product, such as notes, drafts, and correspondence.

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].

Confidentiality: Disposition of records in this series are destroyed as confidential records. Records in this series are confidential under lawyer-client privilege in Wis. Stat. § 905.03 and may include attorney work product under Wis. Stats § 804.01 (2) (c). Some, but not all records, may include personally identifiable information as defined in Wis. Stat.§ 19.62(5). Personally identifiable information is incidental to the primary purpose for which the record series was created.

Retention & Disposition: The Department retains records for 10 years after the date closed with destruction thereafter due to confidentiality. The Department retains records for 10 years to ensure retention beyond standard appeal and statute of limitation time limits.

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

00011000. LEGAL OPINION EVT+20 DEST Y

Purpose: This record series identifies the retention period and disposition for legal opinion records after the Office of Legal Counsel closes a matter. The office generates an identification (ID) number for each legal matter that pertains to a legal opinion it provides to the Department of Corrections. The office stores records under the ID number. The matter is open until the office provides advice to, or consults with, a Department official or employee. Or until the matter becomes inactive, such as when an official or employee no longer seeks advice or consultation on a matter. Thereafter, the office closes the matter.

Content: Legal opinions may be in any legal practice area, such as administrative law, civil law and litigation, contract and property law, criminal and juvenile law, employment law and litigation, health care and guardianship law, and open government and privacy law. Legal opinions include legal services associated with opinions for administrative rules and rulemaking, contract reviews, public records, and other legal matters. Records include advice and consultation provided by the office to the Department through its officials and employees. Records include communication received by the office from officials and employees for advice or consultation, including communication received for advice or consultation that does not result in legal opinion. Records include attorney work product, such as notes, drafts, and correspondence. Records include the legal opinion provided by the office.

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].

Confidentiality: Disposition of records in this series are destroyed as confidential records. Records in this series are confidential under lawyer-client privilege in Wis. Stats § 905.03 and may include attorney work product under Wis. Stats § 804.01(2) (c). Some, but not all records, may include personally identifiable information as defined in Wis. Stats § 19.62 (S). Personally identifiable information is incidental to the primary purpose for which the record series was created.

Retention & Disposition: The Department retains records for 20 years after the date closed with destruction thereafter due to confidentiality. The Department retains records for 20 years to ensure retention beyond when a legal opinion is superseded or no longer relevant.

RETENTION: EVENT (Date closed) + 20 years and destroy confidential

00018000. INITIAL CLASSIFICATION AND RECLASSIFICATION TRACKING OF WORK PR EVT+7 DEST N

This is a NEW RDA created to cover records identified during agency review.

CONTENT: This record series consist of data regarding the number of hearings processed by type (scheduled - appeared, scheduled - waived, early- appeared, early - waived).

PURPOSE: This record series documents the number of hearings performed by BOCM staff as part of their duties.

The forms include but are not limited to: None

CONFIDENTIAL: None

RETENTION: EVENT (Creation) + 7 years and destroy confidential

00019000. WORK STUDY COORDINATOR'S UNIT FILE EVT+3 DEST Y

Program Coordinators use these files for quick access to work information while the inmate is in the Work Study Program. The file contains weekly work schedules, paycheck stubs, Work Study Release Data Sheet, with information such as; work schedule, work route, pay rate, travel time, employer address and employment start date.

Forms that may be included, but are not limited to, DOC-1408 Inmate Work Program Placement, DOC-372 Work Study Release Agreement, DOC-372A Study Release Agreement, DOC-372S Work Release Agreement Spanish and DOC-372AS Study Release Agreement Spanish

Closed = The inmate is released or transferred from the institution or terminated from the Work Study Program.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

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

00020000. TRAINING / COURSE MATERIALS RELATED TO LAW EVT+4 DEST Y

Purpose: This records series is created under the direction of RDA Number ADM00012 for Administrative and Related Records in the General Records Schedule. The Office of Legal Counsel retains training and course materials related to law until a record is no longer needed. A record is no longer needed when the training or course materials are superseded or when an official or employee in the office no longer needs materials after the date of the training or course. Or it may no longer be needed when the office had received a request to provide information to an audience but the request has been rescinded or the training or course was aborted prior to its commencement.

Content: This record series includes any Office of Legal Counsel records pertaining to training or course materials related to law. It includes materials prepared and used by office staff to provide information targeted to internal and external audiences. And it includes materials received by office staff as a participant for any training or conference approved through a DOC-1042 or DOC-1042B request. Records also include communications received by the office to provide information at a training or course.

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].

Confidentiality: Records in this series may include confidential or personally identifiable information. For example, a record may include attorney work product under Wis. Stat § 804.01 (2) (c), and copies of confidential records under Wis. Stat § 905.03. Some, but not all records, may include personally identifiable information as defined in Wis. Stat § 19.62(5), such as a record containing personally identifiable information about an official or employee attending a training or course. Personally identifiable information is incidental to the primary purpose for which the record series was created.

Retention & Disposition: The Department retains records for 4 years after the event with destruction thereafter. Retention of 4 years ensures compliance with the Supreme Court of Wisconsin Board of Bar Examiners requirement on its continuing legal education (CLE) Form 2 that "[c]opies of all brochures, written materials distributed to participants, and attendance lists shall be maintained by the sponsor for the minimum of four (4) years, and shall include the names of presenters."

RETENTION: EVENT (No longer needed) + 4 years and destroy confidential

00026000. REQUEST TO VISIT INMATE EVT+1 DEST Y

This record series is for use with, but not limited to, DOC-176, DOC-846, DOC-0862, and DOC-1089 or their equivalent. Includes inmate name, Department of Corrections number, institution, facility, housing, unit, assignment, date of last visit, visit hours available, date completed, visitor(s) name, relationship to inmate, date of birth, address (street, city, state) and names of children under 18 years of age by full name and date of birth; staff signature approving visit, time visit began, time visit ended, staff signature.

This record series documents the person(s) visiting an inmate so that security can verify if that person is authorized to visit and the reason(s) for denial of visitation. DOC-176 may also be used as a paper pass for visitor(s) to get into the institution or facility.

Confidentiality of requests to visit inmate records included under Wis. Stat. § 19.35(1)(a).

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 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 Visit) + 1 year and destroy confidential

00030000. CONSTRUCTION PROJECTS - PAYMENTS EVT+36 DEST N

CONTENT: These documents include vouchers, purchase orders, requests and certifications for payment, final closing letters and other payment related correspondence.

PURPOSE: The records are used to process and document payments for construction projects that have been assigned project numbers and approval from the Department of Administration, Building Commission or Division of Facilities Development.

The forms include but are not limited to: None

CONFIDENTIAL:
Wisconsin State Statutes:
Wis. Stat.§ 19.31-19.39 Public Records
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat.§ 19.36(9) Plans or Specifications for State Buildings
Wis. Stat.§ 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat.§ 905.03 Lawyer-Client Privilege

RETENTION: EVENT (Date of final closing letter or other final payment related correspondence) + 36 years and destroy confidential

00053B00. INTERSTATE CORRECTIONS COMPACT - BED DAYS TRACKING INPUTS AND **EVT+7** **DEST** **Y**

CONTENT: This record series consist of records that are utilized to track, manage, and record the number of bed days, date received in contract state, date revised, and total days after release.

PURPOSE: The purpose of this record is to track the number of bed days per offender to ensure Wisconsin is afforded the appropriate number of bed days in states that have entered into a compact contract. Wisconsin Statute § 302.25 outlines the purpose of the compact, to provide for the mutual development and execution of programs of cooperation for the confinement, treatment and rehabilitation of offenders with the most economical use of human and material resources. This requirement provides a basis of cooperation between states that have entered into the contract to serve the best interests of offenders and society and effect economies-in capital expenditures and operations costs.

The forms include but are not limited to: None

CONFIDENTIAL:
State Statutes:
Wis. Stat. §19.35(1)(am) Safety and Security
Wis. Stat. §19.36(8) Confidential Informant
Wis. Stat. §905.09 Informant
Wis. Stat. §905.10 Identity of Informer
See Confidentiality of Records on page 2 above and application of the balancing test.

RETENTION: EVENT (Last day of the calendar year) + 7 years and destroy confidential

00055A00. EXECUTIVE DIRECTIVES - INDEX **EVT** **DEST** **N**

CONTENT: The Executive Directives Index is a list of the DOC Executive Directive polices listed in numerical order. The Executive Directives Index contains the following
information: Executive Directive Title, Executive Directive number and date the Executive Directive was approved by the DOC Secretary.

PURPOSE: This index is used as a tool for staff to locate particular Executive Directives created by the department.

There is no GRS RDA for Executive Directive Index, the DOC has these records and requires an RDA to manage.

FORMS: No forms for this RDA

CONFIDENTIAL: None

RETENTION: EVENT (Date index is superseded) and destroy

00057000. RESEARCH PROJECTS CASE FILE - APPROVED PROJECTS **EVT+7** **SHSW** **Y**

CONTENT: Requests to conduct research are managed by the Research Review Committee. Executive Directive #36, Research Program Procedures was established to
assure quality research and to protect offenders, inmates, youth and/or employees who are the subjects of research. Records in this series include, but are not limited to:
Request to conduct research
- Protocol including a description of the proposed research
- Questionnaire(s) to be used
- Description of procedures to assure that Department inmates, offenders, youth, and/or employees are not put as risk and that security of the institution/probation & parole system won't be violated
- Samples of proposed informed consent forms
- DOC-138 Research Project Agreement
- DOC-138A Supervisor Consent for DOC Employee Researchers (if necessary)
- DOC-139 Decision on Research Project Application
- DOC-1198 Researcher's Request for Confidential Records or Human Subjects Research
- Insurance policies
- Approved project records that may include follow-up research on findings
- Final report
- One-page executive summary or scientific abstract of findings
- Any papers intended for publication with t he department approval
- Correspondence to researchers regarding deadlines

PURPOSE: Approved research projects serve a valuable purpose because they examine the process and effectiveness of correctional programs

FORMS include but are not limited to:
DOC-138 Research Project Agreement
DOC-138A Supervisor Consent for DOC Employee Researchers
DOC-139 Decision on Research Project Application

DOC-1198 Researcher's Request for Confidential Records or Human Subjects Research
DOC-1098D Application Supplement-Conviction Record
DOC-255 Data Request
DOC-1163A Authorization for the Use and Disclosure of Protected Health Information

Both RDA AMD00026 and ADM00027 were considered for these records; however, the DOC determined that these Research Projects Case Files are not Program/Policy Impact nor are they Internal or Routine.

The DOC Research Projects RDAs exist and are renewed as separate RDAs due to the nature of the records that researchers may have access to. These are often times research that may be published by professionals within a specific or multiple disciplines. We have had these RDAs in the past and prefer to have separate retentions for the different aspects of these research projects. The DOC does not believe that Research Projects that have been denied/withdrawn, no protocols returned or the log needs to be sent to the Wisconsin Historical Society or retained the same length of time -- therefore the need for separate RDAs. Historically inmates are the subject of studies in many disciplines.

Retention Justification: These records may have business or historical value if the research project is approved and completed. The seven (7) year in house retention provides the DOC with access to these records in the event of research finding publication and any items that would arise from said research. The DOC feels this retention is adequate for business purposes.

CONFIDENTIAL:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 46 Protection of Human Subjects
45 C.F.R . Part 164 Protected Health Care Records
Wisconsin State Statutes:
Wis. Stat.§ 19.35(1)(am) Safety and Security
Wis. Stat.§ 19.36(9) Plans or Specifications for State Buildings
Wis. Stat.§ 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat.§ 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat.§ 69.20 Collection of Vital Statistics
Wis. Stat.§ 103.13 Employee Records
Wis. Stat.§ 118.125 Pupil Records
Wis. Stat.§ 146.82 Health Care Records
Wis. Stat.§ 146.83 Access to Patient Health Care Records
Wis. Stat.§ 165.79 DNA Analysis and Data Bank
Wis. Stat. § 230.13 Closed Records
Wis. Stat.§ 252 HIV Test Results
Wis. Stat.§ 938.78 Juvenile Records
Wis. Stat.§ 950.04(1v) Rights of Victims
Wis. Stat. § 938.78 Confidentiality of Records
Wis. Stat.§ 972.15 Pre-Sentence Investigation.

RETENTION: EVENT (Date the final report is received) + 7 years and transfer to the Wisconsin Historical Society

00057A00. RESEARCH PROJECTS CASE FILE - DENIED/WITHDRAWN **EVT+3** **DEST** **N**

CONTENT: Requests to conduct research are managed by the Research Review Committee. Executive Directive #36, Research Program Procedures. This directive was established to assure quality research and to protect inmates, offenders and/or employees who are the subjects of research.

Records in this series include, but are not limited to:
- Request to conduct research
- Research Review Committee denial letter to researcher detailing reason for denial and opportunity for researcher to respond

PURPOSE: Recommendations to deny research are required to insure safeguards for the protection and privacy of the involved offenders, inmates, youth and/or employees.

FORMS: None

This RDA is different from RDA 57 as these were Research Projects that were denied or withdrawn. No research was completed therefore these records do not need to be retained for the same retention.

Retention Justification: These records have little business or historical value if the research project has been denied or withdrawn, therefore the three (3) year retention is adequate to know if someone has already requested to do this type of research in the past.

CONFIDENTIAL: None

RETENTION: EVENT (Date of denial or withdrawn) + 3 years and destroy

00057B00. RESEARCH PROJECTS CASE FILE - NO PROTOCOLS RETURNED **EVT+2** **DEST** **N**

CONTENT: Requests to conduct research are managed by the Administrator, Division of Management Services. Executive Directive #36, Research Program Procedures was established to assure quality research and to protect t he offenders, inmates, youth and/or employees who are the subjects of research.

Records in this series include, but are not limited to:
- Request to conduct research
- Correspondence to researcher detailing additional requirements or DOC response packet

PURPOSE: These records are used to track research projects and follow-up on nonresponse of requirements according to Executive Directive #36

FORMS: None

This RDA is different from RDA 57, this RDA covers Research Projects that no protocols were returned. No research was completed therefore these records do not need to be retained for the same retention.

Retention Justification: These records have little business or historical value if the no protocol has been returned as the research will not be approved. The two-year retention provides a record if the requester submits a new request within this timeline. The DOC believes this two (2) year retention is adequate.

CONFIDENTIAL: None

RETENTION: EVENT (Date response packet distributed) + 2 years and destroy

00057C00. RESEARCH PROJECTS CASE FILE - OFFENDER RESEARCH LOGS EVT DEST Y

CONTENT: Requests to conduct research are managed by the Research Review Committee. Executive Directive #36, Research Program Procedures was established to assure quality research and to protect inmates, offenders, youth, and/or employees who are the subjects of research.

PURPOSE: These records track research projects and follow-up on non-response of requirements according to Executive Directive #36. The Division of Management Services (DMS) distributes a log twice a year to executive staff indicating the type of research approved by the committee and the status of the research projects. An additional log is maintained which tracks all pertinent dates related to research projects.

The offender research log is an index of research projects and is used to track projects.
Information in the log may include the following:
- Case number
- Name of researcher
- Date Initial request received
- Date DOC Response Packet sent
- Date Received Plan & Signed forms
- Research Review Committee Members assigned
- Decision and Date of Letter
- Additional information needed & type of information
- Follow-up review date
- Research Results Received

FORMS: None

CONFIDENTIAL: None

RETENTION: EVENT (Superseded) and destroy confidential

00059000. OFFICE OF DETENTION FACILITIES APPROVAL DOCUMENTS EVT+7 DEST Y

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

This record series acknowledges approval of construction plans, variances, occupancy, and policy and procedure manuals to the facility administrator. These records are official state approval documentation by the Office of Detention Facilities (ODF) for their compliance with Department of Corrections (DOC) Wisconsin Administrative Code and Wisconsin State Statutes.

Certain documents contain confidential information under Wis. Stat. § 19.35(1)(am)2.c and confidentiality would apply to the construction documents but not the approval letters.

This record series contains the following approval documents for local places of detention to operate:

• Approval Letters: Letters of documentation that the facilities have DOC approval to build, occupy and operate. Documents include: policy and procedure manual approval letters, construction plan approvals, variance approval letters and occupancy approval letters.

• Construction Documents: Major portions of detention facilities construction blueprints that document what was approved by ODF to ensure compliance. These documents are also used by detention facilities specialists for reference during remodeling and to

verify placement of beds/capacity and particular areas and utilizations that were previously approved.

RETENTION: EVENT (Closure date of facility) + 7 years and destroy confidential

00061A00. OFFICE OF DETENTION FACILITIES INSPECTION REPORTS **EVT+10** **SHSW** **N**

The official record in this series may be transferred to or maintained in electronic/digitalformat 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 theimages 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 .

These reports are used to advise the administrators of facility operational issues as determined by the inspectors.

This record series contains reports written by detention facilities specialists to sheriffs and other keepers of facilities that summarize findings of the annual inspection regarding compliance with Department of Corrections Administrative Code and applicable state statutes and also contain recommendations for best correctional practices. The reports signify Office of Detention Facilities compliance with the statutory requirement to inspect per Wis.Stat. §§ 301.36 and 301.37.

CONFIDENTIAL:
State Statutes: Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 301.36 Generalsupervision and Inspection by department Wis. Stat. § 301.37 County buildings;establishment,approval, Inspection.

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

00070000. INCIDENT REPORTS **EVT+11** **DEST** **Y**

This record series contains internal reports that have been sent to supervisors and/or institution or facility administrators that include narrative description of: fires, escapes, deaths, riots/disturbances, cell entries, discharged firearms, self-harm, misconduct, Prison Rape Elimination Act (PREA), physical injury, property damage, threats, accidents, health, custody and other incidents that occurred at a
facility. Forms included in this series are, but not limited to, DOC-98, DOC-98A, DOC-98B, DOC-375, and DOA-6441.

These records are used to review incidents for possible administrative code/rule violations and to document compliance with Wis. -Admin. Code DOC ch. 306.

To inform designated Department of Corrections staff in Central Office of serious incidents, events of special interest, media contacts, contacts with outside agencies such as law enforcement, and legislative inquiries. Department and Division administrative personnel shall be expeditiously informed of all matters of significant interest that occur in adult institutions or facilities.

Confidentiality of reports are included under Wis. Stat. § 146.82, 42 C.F .R. pt. 2, 45 C.F.R. pt. 164, and Wis. Stat. § 19.35(1)(a).

The event is conclusion of investigation, litigation, due process or any other court-related activity.whichever is later.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 11 years and destroy confidential

00072000. ADULT INSTITUTION CASE FILES **EVT+7** **SHSW** **Y**

This record series consists of files for each offender placed in an adult correctional facility under the authority of the Department of Corrections. The contents of each offender case file include four separate folders consisting of social service, legal, visitor, and education files. A case file is created for each new admission to an adult correctional facility unless a previously created case file has yet to reach discharge/termination.

The Social Service File contains records related to the commitment and admission process, the assessment & evaluation process, parole and release information.

The Legal File contains various records that consist of legal documents necessary for the Department of Corrections to incarcerate an inmate.

The Visitor Information File contains various documents related to the process of approving or denying potential inmate visitors. The documents in this will contain PII and confidential information regarding potential inmate visitors.

The Education File contains testing and evaluation records for inmates which may include Test of Adult Basic Education (TABE) test scores, student progress reports, HSED/GED test results, certificates of completion, and evaluation records. This file does not include the Special Education file.

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 these images is acceptable. Upon verification of the quality and retention of these electronic images, the input record will be destroyed confidentially.

Confidential:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

Event is termination date. Termination is defined as the date that the offender is discharged, receives direct discharge from institution, court ordered discharge, or death.

RETENTION: EVENT + 7 years and transfer to State Historical Society (10% Random Sample) and the rest are destroy confidential

00073000. NON SEX OFFENDER CASE FILE **EVT+7** **DEST** **Y**

CONTENT: This record series consists of records for each non sex offender placed under the supervision of the Division of Community Corrections. The content of each case file may include, but is not limited to, the below sections.

PURPOSE: The purpose of this record series is to document activity and actions regarding a non sex offender under supervision with the Division of Community Corrections.

The forms include, but are not limited to, forms listed on Electronic Case Records Manual (ECRM) Case File Setup.

Section 1: Case Activity Record: records related to offender's social history including face sheet, probation social investigation, rules of community supervision, Intake/discharge records, prior record listing, unified case plan, and conditions/supervised release rules.

Section 2: Court Documents: court records related to probation, parole, extended supervision, intensive supervision, judgment of conviction, supervised release and early discharge.

Section 3: Violation Investigation Documents: documents related to violations, warrants, apprehension requests, situation alerts, and absconder locator information.

Section 4: Confidential Documents and Release of Information: records related to health information, victim information, treatment information, and referral for services.

Section 5: Miscellaneous Supervision Forms: supervision documents including travel permit, Interstate Compact documents, electronic monitoring enrollment, home visit waiver, and employment services programs.

Section 6: Miscellaneous Correspondence: correspondence sent to or received from the offender.

Section 7: Institution Documents: documents related to an offender's previous incarceration in a Department of Corrections (DOC) facility including parole planning information, release plan information, sentence information, visitor lists, and financial documentation.

Section 8: Revocation Documents: documents related to an offender's revocation from supervision including hearing notices, revocation order and warrant, subpoenas, and revocation summary reports.

Section 9: Offender Report Forms: DOC-8 (Report). Information gathered on the form includes changes to address, employment, police contact, and education status. (This section of the DCC Offender Case File is retained in accordance with RDA 73A).

Section 10: This section of the DCC Offender Case File is retained in accordance with RDA 184 and RDA 186 related to Sex Offender Case Files only.

Section 11: Offender Financial Information: documents related to an offender's payment for supervision fees, court ordered obligations, wage assignments and payment ledgers.

Confidentiality:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

RETENTION: EVENT (Termination date*) + 7 years and destroy confidential

*Termination is defined as the date that the offender is terminated from supervision, court ordered discharge, or death.

00073A00. NON SEX OFFENDER REPORT FORM (DOC-8) EVT+0 DEST Y

Purpose: The purpose of this record series is to document changes to address, employment, education status, police contact, vehicle change, income change, and payment submission for the offender while under supervision with the Division of Community Corrections (DCC).

Content: This record series consist of "Report" forms, (DOC-8), for each offender placed under the supervision of the DCC. Information gathered on the form includes change of address, employment, police contact, and education status. The form is completed by the offender and is retained in the DCC Offender Case File, Section 9. This form is utilized during supervision of offender, and information from this form is then entered into Department of Corrections (DOC) electronic system for long-term retention. The form is used as a means to gather this information for data entry.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is termination date defined as the date that the offender is terminated from supervision, court ordered discharge, or death. This RDA authorizes destruction of these report forms when the offender is terminated from supervision as the offender can no longer be disciplined or revoked based on the signature on the form.

Retention Justification: Retention is Event + O Years and Destroy Confidential. This record is retained throughout the offender's supervision. For example, if an offender is court ordered to a two-year term of probation, this form{s) is/are retained during the entire time of supervision and then destroyed only when the offender is terminated (discharged) from supervision.

Confidentiality:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls

Wis. Admin Code § 332.17{7){a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08{4){f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35{1){am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse {AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.1O Identity of Informer
Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04{1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (Termination date) and destroy confidential

00080000. SECURITY SHIFT REPORTS **EVT+11** **DEST** **Y**

This record series consists of documents related to reporting of activities during shifts in Wisconsin Prison System facilities.

Information recorded in these documents may include shift activity such as DOC staff working during a specific date and shift, any additional staff on the unit, such as Health Services Unit (HSU) or maintenance personnel, the inmate name and DOC number to report cell movement, including movements for school, work or treatment programs, incidents involving DOC staff and/or inmates. These documents also record DOC staff sick or vacation for each unit, count times, cell searches, noteworthy events such as escapes, Temporary Lock Up (TLU) placements, etc.

Note: Shift reporting log books would use RDA 147.

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 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 report) + 11 years and destroy confidential

00081000. AGREEMENT ON DETAINERS - CERTIFICATE AND FINAL DISPOSITION **EVT+2** **DEST** **Y**

This record series consists of documents related to the resolution of untried charges in accordance with the Agreement for Interstate Detainers as outlined in Wis. Stat. § 973.05.

Wisconsin Stat. § 976.05(1) provides for the expeditious and orderly disposition of charges and determinations and the proper status of any and all detainers based on untried indictments, information or complaints. The Department or Warden or other official having custody of the prisoner must promptly inform the prisoner of the source and content of the detainers and of the prisoner's right to make a request for final disposition.

The prisoner may request final disposition in Wisconsin Statutes 976.05(3) or the appropriate officer of the jurisdiction in which an untried indictment, information or complaint is pending, shall be entitled to have a prisoner against whom the officer had lodged a detainer and who is serving a term of imprisonment in any party state made available upon presentation of a request for temporary custody or availability to the appropriate authorities of the state in which the prisoner is incarcerated per Wis. Stat. § 976.05(4). In response to a request made under sub (3) or (4), the appropriate authority in the sending state shall offer to deliver temporary custody of the prisoner to the appropriate authority of the state where such an indictment, information or complaint is pending against such person in order that a speedy and efficient prosecution may be had.

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 the images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date request is complete) + 2 years and destroy

00082000. FRATERNIZATION POLICY - EXCEPTIONS **EVT+8** **DEST** **Y**

CONTENT: The records in this series are the exception request(s) from an employee based on the Fraternization Policy outlined in Executive Directive 16. This policy was developed to address in a consistent fashion any conflicts of interest that may arise between employees and the offenders they supervise. Relationships between Department of Corrections (Department) employees and persons under the supervision or custody of the Department may compromise the ability of employees to carry out their duties and responsibilities. In addition, the Department has the responsibility to protect its inmates, and offenders from improper relationships that may create conflicts of interest or felony prosecution. The policy outlines a procedure for employees to seek exceptions.

PURPOSE: When an employee reports a potential conflict or violation, the supervisor must obtain a request for an exception from the employee. The supervisor will forward the request along with any recommendations to the appropriate division administrator for preliminary approval or denial. The request is then sent to the Secretary's office for a final decision. Exceptions are granted only by the Department Secretary (or designee) after review of specific circumstances by supervisors and division administrators.

The Fraternization Policy requires employees to:
- Inform supervisors of any current relationship that may present possible conflicts of interest. Before beginning any relationship that may violate the policy, an employee must inform the supervisor.
- Report unanticipated, non-employer-direct contacts with inmates or offenders.
- Ensure that any unanticipated contacts are brief and business like.
- Request exceptions to the policy through the supervisor.

Supervisors must report the specifics of any employee contacts and exceptions requests to the appropriate division administrator. The Secretary (or designee) will review all requests and either grant or deny exceptions.

Supervisors shall ensure that each employee has read the Department Fraternization policy and the signed Acknowledgement of DOC Fraternization Policy (Form DOC-1281) is placed in the personnel file and will be maintained according to the Human Resources General Records Schedule.

These records are to be maintained at the division level. All other copies are duplicates and can be destroyed when no longer needed or according to the Human Resource General Records Schedule for Official Personnel File or Supervisor Files.

Retention changed from Event+ 0 to Event+ 8 Years to match the Personnel File records retained under Human Resource General Records Schedule RDA HR000190 Official Personnel File.

FORMS include but are not limited to the following:
DOC-2270 Fraternization Policy Exception Request

CONFIDENTIAL:
Wisconsin State Statutes:
Wis. Stat.§ 19.31-19.39 Public Records
Wis. Stat.§ 19.3S(1)(am) Safety and Security
Wis. Stat.§ 19.36(8) Confidential Informant
Wis. Stat. § 48.78 Children's Code
Wis. Stat.§ 950.04 (1v) Rights of Victims
Wis. Stat.§ 938.78 Juvenile Records
See Confidentiality of Records section for further information and application of the balancing test.

RETENTION: EVENT (Closed: Employee leaves the Department of Corrections. If employee transfers to another division, the fraternization exception records should transfer with employee if applicable for that division) + 8 years and destroy confidential

00083000. **LITIGATION FILES - ALL EXCEPT LEGAL COUNSEL FILES** **EVT+7** **DEST** **Y**

CONTENT: Documents included in this record series may include, but are not limited to, complaints by any inmate/offender/employee and documents (medical files, conduct reports, p-files, etc.) relating to each complaint subject and/or any staff litigation case materials, staff lawsuits, grievances, arbitrations, Personnel Commission hearings, Notice of Claim, Writ of Habeas Corpus, Summons and Complaints, Petitions and Subpoenas, Writ of Mandamus, Writs of Certiorari, Section 1983 and other civil action lawsuits. These files may be kept in various offices throughout the Department as the content of the complainant can vary from an offender, inmate or staff person. Examples of these offices are Inmate Complaint Examiner, Human Resources, Registrar, etc.

PURPOSE: File material included in this series is needed to defend the Department regarding the subject of the case and to maintain a record for reference of the decision outcome. These files contain information gathered to support our case in the matter.

Note: The Office of Legal Counsel is exempted as that office has a separate RDA (RDA 9 Referral and Miscellaneous Litigation) for records of this nature.

FORMS include but are not to the following:
DOC-2316 Prisoner Litigation County Invoice
DOC-0029 Notice of Claim
DOC-0424 Claim for Witness Fees

Retention Justification. The DOC Litigation Files - All except Legal Counsel records are needed seven (7) years to align with other inmate and legal records related to this type. Our business and legal value of the record series provides for a longer retention of this record series.

CONFIDENTIAL:
Federal Laws:

42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 164 Protected Health Care Records

Wisconsin State Statutes:
Wis. Stat. § 19.31-19.39 Public Records
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat.§ 19.36{8) Confidential Informant
Wis. Stat.§ 19.36{9) Plans or Specifications for State Buildings
Wis. Stat.§ 48.396 Children's Code Records
Wis. Stat. § 48.78 Children's Code
Wis. Stat. § 48.981(7) Abused or neglected children and abused unborn children
Wis. Stat.§ 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 69.20 Collection of Vital Statistics
Wis. Stat.§ 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat. § 103.13 Employee Records
Wis. Stat.§ 118.125 Pupil Records
Wis. Stat.§ 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat.§ 165.79 DNA Analysis and Data Bank
Wis. Stat. § 230.13 Closed Records
Wis. Stat. § 252 HIV Test Results
Wis. Stat.§ 301.03(1) General Corrections Authority
Wis. Stat. § 804.01 Discovery
Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat.§ 905.09 Informant
Wis. Stat.§ 905.10 Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 968.26 John Doe Proceeding
Wis. Stat. § 968.40 Grand Jury
Wis. Stat. § 938.78 Confidentiality of Records
Wis. Stat. § 972.15 Pre-Sentence Investigation
Wisconsin Administrative Code:
Wis. Admin. Code § DOC 309.39(7) Inmate Telephone Calls
Wis. Admin. Code§ DOC 332.17(7)(a-d) Lie Detector Disclosure of Test Information

RETENTION: EVENT (Date litigation is closed) + 7 years and destroy confidential

00084000. MENUS - INSTITUTION, FACILITIES, AND SCHOOLS **EVT+3** **DEST** **N**

CONTENT: This record series contains menus for meals served in the Department of Corrections' institutions, facilities, and schools. These menus are reviewed for nutritional adequacy by a dietician.

PURPOSE: This record series documents menus that ensure the DOC provides meals in accordance with guideline s and the administration Federal Child Nutrition Programs offered in Wisconsin schools and childcare institutions.

In addition to Menu's that are produced by the Dietitian in Central Office, these may include but are not limited to the following DOC forms:
- DOC-2486 Menu Deviation Report
- DOC-2493 Computrition Recipe Audit

Confidential: No

RETENTION: EVENT (Fiscal) + 4 years and destroy

00085000. FOOD MANAGEMENT CORRESPONDENCE FILE **EVT+3** **DEST** **Y**

CONTENT: This record series includes correspondence between the Food Management Section and other DOC Divisions, Institutions, facilities, and Schools, etc. relative to food management or other external communication.

PURPOSE: To maintain documentation of correspondence regarding food management.

Confidential: (Some of these records may contain confidential information)

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records 45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records 42 U.S.C Chapter 13 School Lunch Programs
State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 905.03 Lawyer-Client Privilege

Wis. Stat. § 938.78 Juvenile Records

Lifecycle Language: The official records 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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

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

00098000. WHISTLEBLOWER / COMPLAINT FILES **EVT+11** **DEST** **Y**

CONTENT: This record series pertains to Department of Corrections (DOC) employee complaint case files. These are cases where an employee has disclosed information that he/she believes is 1) a violation of any state/federal law, rule or regulation; 2) mismanagement or abuse of authority in state or local government; 3) a substantial waste of public funds; or 4) a danger to public health or safety.

Note: records in this series are not moved to litigation files nor does this series include litigation records.

These records may contain, but are not limited to, the following:
- DOC-1324, DOC-2731 or equivalent
- Letters, memos, correspondence relating to the complaint
- Investigators contacts, interviews and reports

PURPOSE: These documents ensure compliance with the Whistle blower Act.

FORMS include, but are not limited, to the following:
DOC-1324 Whistleblower Complaint
DOC-2731 Whistleblower Disclosure Report

CONFIDENTIAL:
Federal Laws:
5 C.F.R. Part 2302 Prohibited Personnel
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

Wisconsin State Statutes:
Wis. Stat. § 19.35(1){am) Safety and Security
Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat.§ 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat.§ 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat.§ 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 230 Employee Protection
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat.§ 950.04(1v) Rights of Victims
Wis. Stat.§ 972.15 Pre-Sentence Investigation
Wisconsin Administrative Code:
Wis. Admin. Code§ DOC 309.39(7) Inmate Phone Calls
Wis. Admin. Code§ DOC 332.17(7){a-d) Lie Detector Disclosure of Test Information
Wis. Admin. Code § PAC 1.08(4)(f) Release Due to Extraordinary Health Condition or Age
See Confidentiality of Records on page 2 above and application of the balancing test.

RETENTION: EVENT (Date Complaint File is closed) + 11 years and destroy confidential

00102000. TEMPORARY RELEASE ORDER **EVT+4** **DEST** **Y**

Wis. Stat. § 304.115 and Wis. Admin. Code § 325.08 allow the department to authorize the temporary release of inmates based on a number of criteria. Requirements to the release are outlined in Wis. Admin. Code DOC § 325.09 and include the following:
- Inmate name and DOC number
- Name of staff person accompanying the inmate
- Date and time of departure and return to the institution or facility
- Criteria under Wis. Admin. Code DOC § 325.08 upon which the release was ordered and the underlying facts upon which the order was made
- Conditions imposed under Wis. Admin. Code DOC § 325.07

· Security precautions and security classifications

The Temporary Release Order, DOC-45 and WICS form IPTT016, or its equivalent, is completed each time an inmate is temporarily released from an institution or facility. These forms document inmate movement under specified conditions.

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 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 inmate returned to institution or facility) + 4 years and destroy confidential

00103000. LEGAL AND WRIT CASE FILES EVT+7 DEST Y

CONTENT: This record series consists of complaints and/or writs which are basically lawsuits initiated by inmates who are requesting judicial review of the parole decision by the Parole Commission. These may include the Writ or complaint; transcription of parole review hearing; correspondence from the inmate and Attorney General's office; and copies from the inmate's social file (pre- sentence investigation, psychiatric evaluation, treatment progress notes, diagnostic summaries) and other documents declared confidential.

PURPOSE: The purpose of this record is to allow an inmate a judicial review of a Parole Commission decision.

Wisconsin Statutes outline provisions to inmates for a judicial review of issues. This is further defined in Wis. Stats. § 801.02, Commencement of Action (1) which states, "A civil action in which a personal judgment is sought is commenced as to any defendant when a summons and a complaint naming the person as defendant are filed with the court...". The statutes further delineate the types of actions in Wis. Stats.§ 801.02(5) which states, "An action seeking a remedy available by certiorari, quo warranto, habeas corpus, mandamus or prohibition may be commenced under sub (1), by service of an appropriate original writ on the defendant named in the writ if a copy of the writ is filed forthwith, or by filing a complaint demanding and specifying the remedy..".

The forms include but are not limited to: None

CONFIDENTIAL:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records
State Statutes:
Wis. Stat. §19.35(1)(am) Safety and Security Wis. Stat. §19.36(8) Confidential Informant
Wis. Stat. §51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. §51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. §71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. §118.125 Pupil Records
Wis. Stat. §146.82 Health Care Records
Wis. Stat. §146.83 Access to Patient Health Care Records Wis. Stat. §165.79 DNA Analysis and Data Bank
Wis. Stat. §252 HIV Test Results
Wis. Stat. §905.03 Lawyer-Client Privilege Wis. Stat. §905.09 Informant
Wis. Stat. §905.10 Identity of Informer
Wis. Stat. §938.78 Juvenile Records
Wis. Stat. §950.04(1v) Rights of Victims
Wis. Stat. §972.15 Pre-Sentence Investigation
Administrative Rules:
Wis. Admin Code Ch. 309.39(7) Inmate Phone Calls
Wis. Admin Code Ch. 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC Ch. 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

See Confidentiality of Records section below and application of the balancing test

RETENTION: EVENT (Date decision rendered, appeal decision rendered, denied, or withdrawn

00104000. INMATE PERSONAL COMMUNICATION - NO INCIDENT EVT+2 DEST Y

This record series consists of electronically recorded telephone conversations and/or scans of other personal communication, initiated by, or received by, inmates confined in Wisconsin State Correctional facilities. Information is indexed which may include Inmate PIN (Personal Identification Number), Date of Call, Time, and Telephone Number of the call, Duration of the call and Telephone Conversation.

RETENTION: EVENT (date of call or communication) + 2 years and destroy confidential

00104A00. INMATE PERSONAL COMMUNICATION - INCIDENT EVT+11 DEST Y

This record series consists of electronically recorded telephone conversations, video visits, electronic messages and/or scans of other personal communication, initiated by, or received by inmates confined in Wisconsin State Correctional facilities.

This record series consists of incidents captured and downloaded onto electronic media and/or scans of personal communication. This

media provides documentation of recorded phone calls, video visits, electronic messages and scans of inmate personal communication. Recordings and communications with incidents are reviewed for purposes related to, but limited to, discipline, placement or transfer, law enforcement evidence in addition to evidence for administrative and judicial proceedings.

RETENTION: EVENT (conclusion of investigation, litigation, disciplinary action, or any other court related activity, whichever is later) + 11 years and destroy confidential

00104B00. INMATE PHONE CALLS-ELECTRONIC RECORDING-INADVERTENT RECORDII EVT+0/1 DEST Y

This record series consists of electronically recorded telephone conversations and/or scans of other personal communication between inmates and their attorney. There is a procedure for an inmate to identify the attorney who represents them and the respective phone number. This procedure aids in preventing the electronic recording or scan of these confidential attorney/client privilege phone calls or communication.

In the event that an inadvertent recording or scan is made, this RDA provides the means to dispose of the recording or record as soon as discovery of the recording.

RETENTION: EVENT (Discovery of recording or scan) + 1 day and destroy confidential

00104C00. INMATE COMMUNICATION SCANS, MESSAGES AND/OR VIDEO VISITS EVT+0/6 DEST Y

This record series consists of electronic scans of personal correspondence sent through the United States Postal Service and/or electronically generated personal correspondence created in an application provided by a contracted vendor. Also included are personal correspondence messages sent to and/or from inmates incarcerated in DOC facilities which may be retained in an external vendor provided database. Also included are video recordings of personal visits on an application provided by a contracted vendor

RETENTION: EVENT (date of message, scan or video visit) + 180 days and destroy confidential.

00110000. JUVENILE FIELD CASE FILES EVT+7 DEST Y

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

These records are maintained per WI Statutes and are required for documenting offender adjustment/progress through various programs including supervision, treatment and education, and the legal aspects affecting the duration of supervision, necessary for quality assurance activities and response to the Department's need. Per Wis. Stat. §§ 938.34(4m), 938.357(3),(4,)(5)(e), 938.366, and 938.505, the Department has the authority and duty to protect, train, discipline, treat and confine any youth who is placed in a secured correctional facility.

This record series is confidential per Wis. Stat. § 938.78 and Wis. Admin. Code § 118.125.

A case is inactive if the youth is not in the institution nor a Type II facility nor under supervision. The T-number is assigned when the case has been inactive for a month. Once the T-number is assigned, then the case is closed. If a youth returns, it's considered a new case, a new file is created and the new file receives a new T-number when that case closes.

These records contain, but are not limited to, the following types:

- Legal papers such as: victim notification alert and sheet; picture page; dispositional order revised extending youth's DOC supervision;
- Reports such as: chronological history sheet; status table; case plan; admission records; case plan updates; Non-Type 2 revocation packets; termination of Type 2 community supervision packets; administrative hearing decisions; release records; and various evidence based assessment tools.
- Correspondences include any type of correspondence referencing the youth's file. Such as: correspondence to law enforcement agencies; correspondence to court and judges; correspondence with attorneys; correspondence between staff.
- Referral materials such as prior placement discharge summaries and other pertinent reports; police reports; old field court reports.
- Additional materials such as: referrals to intermediate or short term program(s); Interstate Compact applications/agreement; record requests and responses to requests; notice of hearings, writs, temporary physical custody, subpoenas, etc.; all referrals, except Clinical Services; Disciplinary papers for the youth.
- Adult commitment, county commitment and federal commitment documents are maintained with the active file.

Forms that are included but are not limited to:

- DOC-1626 Notice of Discharge from Community Supervision
- DOC-1627 Notice of Release to Community Supervision
- DOC-1630 Notice of Discharge from Secured Correctional Facility
- DOC-1701 Face Sheet
- DOC-1722 Department Order- Administrative Discharge
- DOC-1722A Department Order
- DOC-1722B Department Order- Termination

- DOC-1722C Department Order- Administrative Transfer
- DOC-1722D Department Order- Revocation
- DOC-1723 Request for Extension of Dispositional Order
- DOC-1734 Action Needed Request/ Notification of Action
- DOC-1795 Notice of Juvenile Non-Type 2 Revocation, Detention, Rights, Acknowledgment and Waiver
- DOC-1911 Type 2 Sanction/Administrative Detention
- DOC-1912 Type 2 Violation Report
- DOC-1933 Assessment and Evaluation Report (AER)
- DOC-1939 Family and Home Assessment (FHA)
- DOC-1945 Termination/ Revocation Summary
- DOC-2078 Contacts List

Closed is when the “T” number is issued. Active and inactive files are alphabetical; closed files are numerical by “T” number.

RETENTION: EVENT (Closed when T number issued) +7 years and destroy confidential

00110B00. JUVENILE FACILITY SOCIAL SERVICES CASE FILES EVT+7 DEST Y

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

These records are maintained per WI Statutes and are required for documenting offender adjustment/progress through various programs including supervision, treatment and education, and the legal aspects affecting the duration of supervision, necessary for quality assurance activities and response to the Department’s need. Per Wis. Stat. §§ 938.34(4m), 938.357(3),(4),(5)(e), 938.366, and 938.505, the Department has the authority and duty to protect, train, discipline, treat and confine a child who is placed in a secured correctional facility.

The Facility’s Information Processing Center (IPC) creates and maintains the youth’s standardized social services file, per the file format guidelines in the Electronic Case Reference Manual.

These records contain, but are not limited to, the following:

- Legal Papers such as the victim notification alert, picture page, dispositional order or judgment of conviction, sex offender registration.
- Reports such as chronological history sheet, status table, individual case plan, admission records, case plan updates, department orders, revocation packets, termination of Type 2 community supervision packets, administrative hearing decisions, and various evidence-based assessment tool reports.
- Correspondence, which includes, memos, letters to and from the facility: correspondence to law enforcement agencies, correspondence to judges, memos between facility staff, AWOL prosecution letters to district attorney.
- Pre-admission material such as prior placement discharge summaries and other pertinent reports, police reports, old field court reports
- Miscellaneous: Commitments to intermediate or short-term programs, interstate compact application and agreement, record requests and responses to requests, notices of hearings, writs, temporary physical custody, subpoenas, all referrals except to Clinical Services.
- Disciplinary Papers such as conduct reports.

Forms that are included, but are not limited to:

- DOC-1841 youth restitution & debt collection,
- DOC-1701 face sheet(s),
- 1745-JD dispositional order or judgment of conviction,
- DOC-1706 court petition,
- DOC-1723 request for extension,
- DOC-1940 DNA form,
- DOC-1759/DOC-1759A sex offender registration,
- DOC-1907 individual case plan (ICP),
- DOC-1933 assessment & evaluation report (AER),
- DOC-1936 education evaluation report (EER),
- DOC-1939 family & home assessment (FHA),
- DOC-1941 progress summary, COMPAS case plan updates,
- DOC-1722A department orders
- DOC-1734 information transmittal/action needed request,
- DOC-1780 order to detain,
- DOC-1627 notice of release/transfer to community supervision,

- DOC-1630 notice of discharge of youth from secured correctional facility,
- DOC-58 apprehension requests,
- DOC-58A cancellation of apprehension requests,
- DOC-2060 juvenile off-grounds request,

- DOC-1947 furlough request,
- DOC-2313 Lifework Education Portfolio checklist,
- DOC-1720 trial visit to parental home agreement,
- DOC-1718 trial visit and pre-placement agreement,
- DOC-1741 community supervision rules and conditions,
- DOC-44A recommendation for administrative action (a case transfer),
- DOC-1788 juvenile release authorization,
- DOC-1999 request for certified copy of birth certificate,
- DOC-342 notice of disciplinary hearing rights and waiver,
- DOC-346 major disciplinary hearing reasons for/evidence forms,
- DOC-1842 notice of placement in pre-hearing security,
- DOC-1843 & DOC-1843A conduct report.

This record series is confidential per Wis. Stat. § 938.78 and Wis. Admin. Code § 118.125.

A case is inactive if the youth is not in the institution nor a Type II facility nor under supervision. The T-number is assigned when the case has been inactive for a month. Once the T-number is assigned, then the case is closed. If a youth returns, it's considered a new case, a new file is created and the new file receives a new T-number when that case closes.

RETENTION: EVENT (Closed when T number is issued) + 7 years and destroy confidential

00110C00. OJOR CASE FILES **EVT+7** **DEST** **Y**

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

The Joint Planning & Review Committee (JPRC) meets after the youth has completed the Assessment & Evaluation process to establish the youth's initial broad goals and to discuss re-entry planning regarding the youth's transition back to the community. At subsequent meetings, the JPRC reviews the youth's individual case plan and progress summaries to determine if the youth's goals need modification. The institution-based Office of Juvenile Offender Review (OJOR) reviewer completes review notes and issues the formal department order regarding the decision. OJOR staff in Central Office schedule JPRC conferences to ensure that legal time lines are met.

These records are maintained per WI Statutes and are required for documenting youth adjustment/progress through various programs including supervision, treatment and education, and the legal aspects affecting the duration of supervision, necessary for quality assurance activities and response to the Department's need. Per Wis. Stat. §§ 938.34(4m), 938.357(3),(4),(5)(e), 938.366, and 938.505, the Department has the authority and duty to protect, train, discipline, treat and confine a child who is placed in a secured correctional facility.

The records contain, but are not limited to, DOC-1701 face sheet(s), DOC-1722A department orders, correspondence, JPRC conference notices, victim/witness notifications, court dispositional orders, DOC-1627 notice of release/transfer, DOC-1788 juvenile release authorization, OJOR progress review reports, termination of Type 2 community supervision packets (including supporting documentation such as copies of police reports), transfer notices, sexual predator notices, information transmittals and/or request for action.

Forms include, but are not limited to: DOC-1701 Face Sheet, DOC-1627 notice of release/transfer of youth to community supervision, DOC-1630 notice of discharge of youth from secured correctional facility, community supervision plan, community supervision rules & conditions, DOC-1722A department order, summary of decisions, DOC-1939 family & home assessment, transfer summary, progress summary, individual case plan, education evaluation report.

Not all forms are included in every youth's file.

This record series is confidential per Wis. Stat. § 938.78 and Wis. Admin. Code § 118.125.

A case is inactive if the youth is not in the institution nor a Type II facility nor under supervision. The T-number is assigned when the case has been inactive for a month. Once the T-number is assigned, then the case is closed. Active and inactive files are alphabetical, closed files are numerical by "T" number. If a youth returns, it's considered a new case, a new file is created and the new file receives a new T-number when that case closes.

RETENTION: EVENT (Closed when T number is issued) + 7 years and destroy confidential

00113000. INMATE / OFFENDER PROPERTY RECORDS / FILES **EVT+5** **DEST** **Y**

This record series is for use with, but not limited to, DOC-236, DOC-237, DOC-1080A, DOC-1303, and DOC-1416 or their equivalent

These files contain a complete inventory and disposition of an offender's personal property while he/she is incarcerated in a Wisconsin correctional facility. The property inventory form includes offender's name, DOC#, date and a property checklist. These forms are used by the admitting institution or facility and when the offenders are transferred or released. Whenever an inmate receives or disposes of property, he/she receives a property receipt/disposition form with a detailed description of each item. All forms are dated and signed by the inmate and a staff member. Files may also contain correspondence related to property issues.

These files can be used by unit officers to determine property ownership when an inmate is placed in temporary lock up (TLU) and

during random room searches of double occupancy rooms/cells. Refer to Wis. Admin. Code ch. 309 for more detailed resources for inmates.
Confidentiality of property files are included under Wis. Stat.§ 146.82, 42 C.F .R. pt. 2, 45 C.F.R. pt. 164, or Wis. Stat.§ 19.35(1)(a).

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 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 offender is released) + 5 years and destroy confidential

00114000. WORK TRAINING RECORDS **EVT+5** **DEST** **Y**

Record series consists of reports relating to the inmate's employment and training programs in the Bureau of Correctional Enterprises. Files may include, but are not limited to: employment applications, interview report, employment performance evaluations, signed receipt of work rules and discipline policy, payroll information and updates, employment termination/completion papers, classification specialist report detailing work history, job descriptions.

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 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 day of work or release from DOC) + 5 years and destroy confidential

00115000. INMATE ACCOUNT FILES **EVT+6** **DEST** **Y**

This record series contains information pertaining to a specific Inmate Trust Fund Account. These files may contain, but are not limited to the following information: Onsite Electronic Deposit (OED) canteen deposits, OED check stubs, OED paperwork, OED reports, US Bank account documentation, canteen account invoices, deposit vouchers, journal vouchers, vendor commissions and state collection documentation, These records are maintained for auditing purposes, account transaction verification and problem resolution.

The event is the date of transaction in the financial system or the statement date, whichever Is later.

The official record in this series may be transferred to, or maintained in, electronic/digital fonnat 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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record wilt be destroyed confidentially.

RETENTION: EVENT (date of transaction in the financial system or the statement date, whichever Is later) + 6 years and destroy confidential

00115A00. INMATE ACCOUNT FILES - LONG-TERM **EVT+1** **DEST** **Y**

This record series contains information pertaining to a specific Inmate Trust Fund Account that must be retained for length of incarceration. These files may contain, but are not limited to, the following information: State and Federal Filing fees, Child Support Orders, Income Assignments, Legal Loan applications and supporting documentation, US Bank New Account card and inmate Judgment of Convictions (JOC) containing financial data. These records are
maintained for auditing purposes, account transaction verification and problem resolution.

Event is dale of release from incarceration or date account closed.

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 these images is acceptable. Upon verification of the quality and retention of the electronic
images, the input record will be destroyed confidentially.

RETENTION: EVENT (dale of release from incarceration or date account closed) + 1 year and destroy confidential

00115B00. INMATE ACCOUNT FILES - DISBURSEMENTS **EVT+1** **DEST** **Y**

This record series contains information pertaining to a specific Inmate Trust Fund Account. These files may contain, but are not limited to, disbursements which require signatures. These records are maintained for auditing purposes, account transaction verification and problem resolution.

Event is date of document processing.

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 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 document processing) + 1 year and destroy confidential

00121000. INMATE COMPLAINT REVIEW SYSTEM RECORDS EVT+10 DEST Y

Llfecycle Language: The official record in this series may be transferred to or maintained in electronicfdigital format for the full retention period. To comply with Wis. Stats § 16.61(7} and 137.20 for authenticity, accLiracy, and accessibility the original input docume-nts may be Imaged or reformatted and subject to review, to ensure the images are electronJcaUy stored and the quamy of these Images is acceptable. Upon verification of lhe quality and retention of the electronic images, U1e input record will be destroyed confidentially.

The purpose of the Inmate Complaint Review System (ICRS) Is to afford Inmates in institutions and centers a process by which grievances may be expeditiously raised, investigated and decided. The ICRS purpose Is:

•· To allow lnf'\lales to raise, in an orderly fashion, issues regarding department policies, rules, living conditions, and employee actions that personally affect the Inmate or Institution environment, including civil rights claims.
To provide the department an opportunity to resolve the issue before an inmate con1mences a civil action or special proceeding. To encourage communication between Inmates and employees.
To review and explain correctional policy or practice to inmates and employees. To identify errors and deficiencies In correctional policy or practice.

These records host no court system appeals. It Is the internal complalnt system within the Department of Corrections. Inmate complaints are initiated locally at each adult institution. Rejected complalnts are completed at the Institution Compla!nt Examiners (ICE} level and are appea!able by the appropriate reviewing authority (i.e. warden or bureau director of health services or.correCtional enterprises). That decision Is firtal. The remaining complaints are addressed at the ICE level with a recommendation that is forwarded to the appropriate reviewing authority (RA). The RA renders the final decision on the inmate complaint. Inmates may appeal a complaint decision to the Corrections Complatnt Examiner (CCE). The CCE .makes a recommendation on the appealed complaint that is forwarded to the Office of the Secretary (OOS). The QOS deslgnee renders the final decision on the inmate appeal.

The Inmate Complaint Tracking System {ICTS) Is an automated system used by ICE, the RA, the CCE, and OOS in processing, tracking, addressing and communicating decisions regarding inmate complaints. ·

The forms Include but are not limited to:

DOC-400 DOC-4008 DOC-400B DOC-40088 DOC 405 DOC 405S DOC·2182 DOC-2182S

Inmate Complaint
Inmate Complaint Spanlsh
Inmate ComplainUAppeal (Continued}
Inmate ComplainUAppeal (Continued} Spanish Offender Complaint Appeal
Offender Compfalnt Appeal
Request for Review of Rejected Complaint
Request for Review of Rejected Complaint Spanish

Event Is the date the file ls closed. This could be at the Inmate Complaint, Appeal or Rejection stage depending upon the Inmate's decision to move this through the process.

CONFIDENTIAL:

Federal Laws:
42 C.F.R. pt. 2 Confidentiality of alcoholand Drug Abuse Patient Records 45 C.F.R. pt. 160 Privacy of Health lnfonnatlon
45 C.F.R. pt. 164 Protected Health Care Records

State Statutes:
Wis.Slat. § 19.35(1)(am) Safety and Security Wis. Slat. § 19.36(8) Confidential Informant
Wis. Stal. § 51.30 Mental Health, Developmental Disabllitles, and AODA Information Wis. Stat. § 51.47 Alcoholand Other Drug Abuse (AODA) Treatment Records
Wis. Stal. § 71.78(1)(5)(6) Revenue Confldentlalily Provisions Wis. Slat.§ 110.125 Pupil Records
Wis. Slat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank Wis.Stat. § 252 HIV Test Results
Wis.Stat. § 905.03 Lawyer-Client Privilege Wis. Stal.§ 905.09 Informant
Wis. Stat. § 905.10Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wfs. Stal. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Administrative Rules:
Wis. Admln Code ch. 309.39(7) Inmate Phone Calls Wis. Admln Code ch. 310.16 Confidentiality
Wis.Admin Code ch. 332.17(7)(a-d) Lie Detector Disclosure of Test lnfonnatlon Wis.Adrnln Code PAC ch.1.08(4)(1) Release Due to Extraordinary Health Condition or Age

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

00124000. **DOC NOTIS** **EVT+8** **DEST** **Y**

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 theimages 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.

DOC NOTIS,also formally called VOICE, is the OVSP's information, case management, and notification system. Victims of crime can choose to enroll for notification, and OVSP then keeps their name, address,email, and demographic information on file. All contacts with DOC OVSP staff are documented in case notes. DOC NOTIS replaced VOICE and DOC no longer utilizes an externalvendor to provide victim with information, updates, and case management related to victims of individuals in the custody of DOC.

DOC NOTIS generates and retains DOC-related automated notifications regarding the status of individuals in the custody of Department of Corrections, either while incarcerated,on community supervision, or required to register with the Wisconsin Sex Offender Registry.

Confidentialby Wisconsin State Constitution Article ISection 9m(2) and Wis. Stat. § 950.04(1v)(ag).

RETENTION: EVENT (Offender discharge from DOC custody) + 8 years and destroy confidential

00125000. **HIGH RISK PROFILE** **EVT+5** **DEST** **Y**

This record is related to inmates incarcerated in the Wisconsin State Prison System who are considered to pose a threat/risk to the safety and security of DOC staff, facilities, other inmates and the public.

This record contains history of inmate conduct while incarcerated, in the community, other correctional facilities (other states/jails), and past and present offense history.

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 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 inmate reaches Maximum Discharge Date) + 5 years and destroy confidential

00132000. **LEGAL PROGRAM** **EVT+3** **DEST** **Y**

Purpose: This record series identifies the retention period and disposition for records no longer needed by the Office of Legal Counsel for the legal program it operates for the Department of Corrections. The event that initiates the start of the retention time period is when a record no longer is needed by the legal program office.

Content: The series pertains to records for legal professional services, management, operation, and administration. Legal professional service records include subject files of non-appointed staff. Management, operation, and administration records include general office files. This series does not pertain to a record under the scope of a general records schedule, such as activity and production reports (e.g. ADM00001, ADM00001A), calendars and schedules (e.g. ADM00004, ADM00005), correspondence (e.g. ADM00009, ADM00010, ADM00011), staff notices or communications (e.g. ADM00015), agency organization (e.g. ADM00017, ADM00020, ADM00021), policies and procedures (e.g. ADM00023), teams, projects or workgroups (e.g. ADM00027, ADM00028, ADM00030), forms management (e.g. ADM00101), library operations (e.g. ADM00111), records management (e.g. ADM00130, ADM00133, ADM00134), budget records (e.g. BUD00025), and fiscal and accounting records (e.g. FIS00010, FIS00011, FIS00020).

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].

Confidentiality: Records in this series may include confidential or personally identifiable information. For example, a subject file may include attorney work product under Wis. Stat § 804.01 (2) (c), and copies of confidential records under Wis. Stat § 905.03. Some, but not all records, may include personally identifiable information as defined in Wis. Stat § 19.62 (5), such as a record containing personally identifiable information about an office official or employee. Personally identifiable information is incidental to the primary purpose for which the record series was created.

Retention & Disposition: The Department retains records for 3 years after a record is no longer needed by the legal program with destruction there- after. The Department retains records for 3 years to comport with similar subject file, management, operation, and administration record schedules.

RETENTION: EVENT (No longer needed) + 3 years and destroy confidential

00133000. **COMMUNITY CORRECTIONS EMPLOYMENT PROGRAM (CCEP) PAYROLL** **EVT+7** **DEST** **Y**

Purpose: The purpose of this record series is to document employment eligibility, job placement, hours worked, and payroll for offenders. Participation in the program helps offenders to acquire meaningful jobs upon release.

Contents: This record series consists of payroll-related records for offenders who are participating in the Community Corrections Employment Programs (CCEP). The program was formerly known as Transitional Employment Program (TEP) Participants. The content of each file may include the following, but is not limited to:

-W-4 Employee's Withholding Allowance Certificate
-Form 1-9 Employment Eligibility Verification
-DOC-257 Status Report Community Corrections Employment Program (New Placements, Holds, -Terminations)
-DOC-1792 Bi-Weekly Work Experience Evaluation I Time Card - CCEP
-DOA-6149 Wage Assignment Action Notice
-Copies of employer verification of earnings faxed to Centralized Document Processing regarding -BadgerCare and FoodShare applications

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is termination from employment.

CONFIDENTIAL:
Federal Laws:
-28 C.F.R. Ch. I, Pt. 20 Criminal Justice information
-5 U.S.C. § 552a Privacy Act of 1974
-18 U.S.C. § 2721 Drivers Privacy Protection Act
-42 U.S.C. §§ 405(c)(2)(C)(i),Section 205(c)(2)(C), x and xi - Social Security Protection Act of 2010
-42 U.S.C. § 12101 Americans with Disabilities Act 1990
-P.L. 111-318 (S. 3789) Social Security Number Protection Act of 2010

State Statutes:
-Wis. Stat. § 19.36(10) Employee Personnel Records
-Wis. Stat. § 103.13(6) Records Open to Employees, Exceptions
-Wis. Stat. § 230.13 Closed records
-Wis. Stat. ch. 343 Operators' License

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (Termination from employment) + 7 years and destroy confidential

00145000. **KEY CONTROL RECORDS** **EVT+11** **DEST** **Y**

These records contain various DOC forms used for tracking, and control of, keys within the institutions and facilities. These forms include, but are not limited to DOC-876-Key Replacement Request, DOC-671-Key Control Card, DOC-672-Key Distribution, DOC-1593-Key Request (DJC), DOC 1593A-Key Request Multiple (DAI), DOC-2207-Offender Key Control, DOC-2064-Key Request/Transfer/Removal, DOC-1978-Key Ring Modification Request, DOC 2082-Key Request (DAI). Additional information contained in these records include employee names, location of key storage, key numbers, serial numbers, brand of keys, purpose of key, and inmate room numbers.

These records reflect a complete and accurate listing of all institution or facility keys, including the locks they operate. Supervisory staff uses these records to identify and monitor key inventories and usage. These records document all key records/key inventory for a given institution or facility, including spare keys, grandmaster keys, paracentric keys, and padlock keys, as well as what locations the keys are stored within the institutions or facilities.

The chit system is also utilized to track which employee has had which key(s) in their possession for their job duties. These records also maintain records of what keys are requested and if that request was granted or denied.

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 Wis. Stat. § 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.

RETENTION: EVENT (date key returned or removed from use) + 11 years and destroy confidential

00146000. TOOL REPORTS EVT+11 DEST Y

These records include, but are not limited to, various DOC forms used for the tracking and control of tools within the institutions and facilities. Forms that may be included in this series are DOC 1110-Tool Receiving Report, DOC 1112-Tool Turn-In Receipt, DOC 1113-Lost Tool Report, DOC 1108-Class A Tools, DOC 1109-Class B Tools, and DOC 1111-Monthly Tool Report.

The Department is required to document the use of all tools for inventory control compliance per the Wis. Admin. Code DOC ch. 306 and DAI policy. Records in this series document a running inventory of tools used by various departments throughout the institution or facility. These records assist to establish an effective control plan to ensure that all tools within the institution or facility are used and stored in a safe and secure manner, and to inform all staff of the requirements and methods of supervising tool use and accountability.

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 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 tool no longer in use.) + 11 years and destroy confidential

00147000. LOG BOOKS (SECURITY) EVT+11 DEST Y

Typically, these records consist of any bound generic books. Information recorded in these log books may include, but is not limited to, the shift activity such as DOC staff working during a specific date and shift, any additional staff on the unit, such as HSU or maintenance personnel, the inmate name and DOC number to report cell movement, including movements for school, work or treatment programs, incidents involving DOC staff and/or inmates. These log books may also record DOC staff sick for each unit, count times, cell searches, noteworthy events such as escapes, TLU placements, etc.

These log books are used to create a written record of events or shift activity occurring in a unit during every shift. Entries are made at various times throughout the day. Information recorded in the log books are used by staff working the subsequent shift to review occurrences from the previous shift, as well as other institution or facility staff for various reasons, such as for litigation purposes.

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 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 entry in log book) + 11 years and destroy confidential

00148000. CORRESPONDENCE - SECURITY CR+11 DEST Y

This record series includes, but is not limited to, DOC 761-Information/Interview Request; general correspondence/memos generated by the security office addressed to staff and/or inmates.

This record series documents information that is shared between staff and other offices within the institution or facility and the responses provided to them by the security office.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Creation) + 11 years and destroy confidential

00149000. CONFIDENTIAL INFORMANT STATEMENTS EVT+11 DEST Y

For use with notarized DOC-78 form or non-notarized DOC-78A form or their equivalent.

These records document information used by security staff for investigatory purposes in determining violations of institution or facility policies and procedures. The statements are useful to help ensure the security of the institution or facility, and the protection of institution or facility staff and the inmates housed there. This record may be used in summary reports, which provide further information regarding criminal behavior conducted within the institution or facility (i.e. gang activity, riot attempts, etc.).

At no time should the DOC-78 be filed outside of the security office. The identification of the informants remains confidential to protect the individuals from any retaliation. DOC-78A is covered by RDAs 72, 201, 209, 210, and 235.

Wis. Admin. Code DOC chs. 303 and 310, provides directive to the procedures regarding due process, inmate complaints, and confidential informant statements. Confidentiality for these records are included under Wis. Stat. § 19.36(8), Wis. Stat. § 19.35(1)(am) 2.b.

Event is conclusion of investigation, litigation, due process or any other court related activity, whichever is later.

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 these images is acceptable. Upon verification of
the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 11 years and destroy confidential

00150000. TEMPORARY LOCK UP RECORDS EVT+11 DEST Y

These records list inmates in temporary lock up (TLU) listing inmate name, Department of Corrections number, reason for placement, facility, date placed in and removed from lock up, site of transfer, due process date, program review date, and disposition. Records are used for budget purposes to help plan for additional space while monitoring the number.of lock ups that occur during any given month.

For use with, but not limited to, DOC-67, and DOC-68 or their equivalents.

Confidentiality of temporary lock up records are included under Wis. Stat.§ 146.82, 42 C.F.R. pt. 2, 45 C.F.R. pt. 164, Wis. Stat.§ 19.36(8), Wis. Stat.§ 19.35(1)(am)2.c and Wis. Stat. 19.35(1)(a).

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 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 released from TLU) + 11 years and destroy confidential

00151000. SEARCH OF OFFENDER / INMATE RECORDS EVT+11 DEST Y

This records series is used to document date, time, type of search, results and staff performing the search. These records are useful to determine staff performance, record contraband and for use as a matter of record for inmate complaint resolution and/or further litigation.

For use with, but not limited to, DOC-1523, DOC-15238, DOC-1523C, and DOC-142 or their equivalents.

Wis. Admin. Code DOC chs. DOC 303 and 306 c:ind Division of Adult Institutions policy dictate that search documentation be completed and maintained.

Confidentiality of these records are included under Wis. Stat.§ 146.82, 42 C.F.R. pt. 2, 45 C.F.R. pt. 164, and Wis. Stat. 19.35(1)(a).

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 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 search) + 11 years and destroy confidential

00152000. VISITOR NOTIFICATIONS EVT+0/1 DEST Y

Entrance memorandum indicating name of visitor, affiliation, date of entrance, person to contact, area to visit, purpose and special instructions or items to be allowed into the institutions/center.

For use with, but not limited to, security forms such as DOC-1267 and DOC-1267A or their equivalents.

These documents are used to record visitors to the institutions and to notify security and lobby staff of a visitors scheduled arrival or authorization to visit the institutions/center, who to notify upon their arrival and who authorized the visitors access.

Confidentiality of visitor notification records are included under Wis. Stat. § 19.36(8) and Wis. Stat. 19.35(1)(a).

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 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 visit) + 30 days and destroy confidential

00153000. URINALYSIS (UA) RECORDS EVT+6 DEST Y

Purpose: The purpose of these records is to document the retention period and disposition for urinalysis (UA) records created or received by divisions of the Department of Corrections (DOC). Results and confirmation of urinalysis tests are retained in the event of any discrepancies, history of previous drug levels, litigation, etc.

Contents: This record series consists of positive or negative urinalysis results for urine samples received by the DOC. The UA screening is initially completed by DOC and selected positive samples are sent to a contracted outside vendor for confirmation. Testing may be conducted for various reasons: based on the needs of a treatment case plan; random per the UA Random Batch Process; or for specific inmate, offender, or juvenile where there may be concerns. Any UA tests done for medical purposes will be retained under the Bureau of Health Services (BHS) Records Retention Schedule, RDA #153.

This records series may include, but is not limited to:
- DOC-0106 UA Confidential Waiver
- DOC-0142 UA Report Form
- DOC-1496 On-Site Drug/Alcohol Screening Test Results and Chain of Evidence Forms - Records received or generated on vendor forms may also be part of this record series.
- DOC-2817 Urinalysis Refrigerator Log

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Confidentiality:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records 45 U.S.C. Part 290 Confidenliality of Records

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse Treatment Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by !aw to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

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

00157000. NON-DELIVERY OF MAIL **EVT+11** **DEST** **Y**

This document lists the mail or item(s) received, reason(s) for denial, sender, and intended recipient of the mail/item. For use with, but not limited to, DOC-243, Notice of Non-Delivery of Mail.

Records provide notification to the inmate of the mail or item(s) received through the mail and indicate the reasons for non-delivery. The form provides the inmate an opportunity to express their wishes in disposal of the mail or item(s) and informs the inmate of their right for appeal to the decision for the non-delivery.

Wis. Admin. Code DOC ch. 309.05 lends directive to the procedures regarding inmate mail.

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 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 notice) + 11 years and destroy confidential

00158000. OFFENDER ACTIVITY RECORDS **EVT+11** **DEST** **Y**

For use with, but not limited to, DOC-689, DOC-802, DOC-1008, DOC-1587, DOC-2308, or DOC-2651 or their equivalents. This record series documents Department of Corrections staff contact and comments regarding activity of inmates.

This record series documents an inmate's activities, movement and/or status. Included in these records is date and time of activity/movement, inmate/offender name, DOC number, and unit assignmenUstatus. Inmate activity refers to movement in the institution, movement off the unit and different things offered while housed in restrictive housing. These may include showers,

medication delivery, recreation, religion, education, etc.

This record series ensures staff, inmate, and facility movement and activity is documented to ensure safety through written and verbal communication for each shift on a daily basis.
Confidentiality of these activity records are included under Wis. Stat. § 146.82, 42 C.F.R pt.2, 45 C.F.R. pt.164 and Wis. Stat. 19.35(1)(a).

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 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 movement, or last entry on log) + 11 years and destroy confidential

00159000. OFFENDER / INMATE / JUVENILE DIET RECORDS EVT+3 DEST Y

PURPOSE: The records provide the information and documentation that supports special diet orders provided to offenders, inmates or juveniles within the institutions, facilities and schools.

CONTENT: This record series covers records maintained regarding offender dietitian consult, modified or religious diets and may include notice of special diet orders or requests, acknowledgments, consent/refusal, allergy, intolerance and other special diet records.

These include, but are not limited to, the following forms:

DOC-1836 Diet Order Acknowledgment - Male
DOC-1836A Diet Order Acknowledgment - Female
DOC-2167 Religious Diet Request
DOC-2671 Dietitian Consult Request
DOC-3334 Modified Diet Order
DOC-3341 Modified Diet Consent I Refusal
DOC-3341 S Modified Diet Consent I Refusal - Spanish
DOC-3518 Food Allergy Intolerance Diet Interview

Confidential: (Some of these records may contain confidential information)

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records 45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 938.78 Juvenile Records

Lifecycle Language: The official records 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 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 diet is canceled, terminated, changed or the inmate/juvenile is discharged or terminated from the institution, facility, or school) + 3 years and destroy confidential

00160000. DAI AND DJC PSYCHOLOGICAL SERVICES UNIT RECORD PERTAINING TO S EVT+60 DEST Y

These records consist of individually identifying confidential documents filed in the Psychological Services Unit (PSU) Record, created by Division of Adult Institutions (DAI) and Division of Juvenile Corrections (DJC) for offenders residing in DAI or DJC facilities who are identified by the Department of Corrections (DOC) as sex offenders. It also includes confidential records for DAI inmates who participate in treatment. The records include individually identifiable information protected by Wisconsin and federal confidentiality laws. The records document the identified mental health needs of offenders and the services provided to those offenders by mental health providers. The records assist in the appropriate delivery of mental health care of offenders.

The records pertaining to individuals who are identified by the DOC as sex offenders must be retained longer than the records for individuals who are not identified as sex offenders due to the relevance for Wis. Stat. Chapter 980, Sexually Violent Person Commitments.

CONFIDENTIAL:
21 C.F.R. Part 1304, 21 C.F.R. Part 1305, 21 C.F.R. Part 1317, 42 C.F.R. Part 2, 45 C.F.R. Part 160, 45 C.F.R. Part 164, Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.38, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 252.15, Wis. Stat. § 303.388, Wis.

Stat. § 938.78, Wis. Stat. § 950.04(1V), Wis. Stat. Ch. 961, Wis. Stat. § 972.15, Wis. Admin Code § DHS 92.08, Wis. Admin. Code Ch. DOC 17, Wis. Admin Code Ch. DOC 7, Wis. Admin Code Ch. DOC 8

EVENT = Date of release from DAI incarceration or DJC commitment or termination of Division of Community Corrections supervision

RETENTION: EVENT + 60 years and destroy confidential

00169000. **MEDICATION OCCURRENCE REPORTS** **EVT+10** **DEST** **Y**

These records track and investigate medication occurrences that occur at any point in the process of prescribing medication, filling prescriptions, dispensing medication, and administration of medication. The records include, but are not limited to, DOC-3340 Medication Occurrence Report, and DOC-3340A Central Pharmacy Occurrence Report.

Confidential:
42 C.F.R. Part 2, Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.83, Wis. Admin Code DOC § 1.08(4)(f)

RETENTION: EVENT (Date Report Completed) + 10 years and destroy confidential

00175000. **INMATE PAYROLL** **EVT+5** **DEST** **Y**

Records include documents maintained by the Correctional Enterprises finance team for inmate workers employed in the Bureau of Correctional Enterprises (BCE) agriculture, industries, and logistics teams. Records include forms and agreements filed by each inmate worker, including, but not limited to, W-4 and/or WT-4 forms, private sector employment agreement and document of original hire (hire date, rate of pay, position, team on which the inmate works, social security number, race, inmate name and Department of Corrections (DOC) identification number). Also included are internal statistical and narrative reports created by DOC on the routine operations and functions of a fiscal office. Includes weekly, monthly and quarterly reports for operations, management analysis and planning.

Event is the inmate is no longer employed by the BCE or no longer incarcerated, whichever comes first.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 5 years and destroy confidential

00183000. **FOOD SERVICE STAFFING RECORDS** **EVT+3** **DEST** **N**

PURPOSE: These lists, rosters, detail sign in/sign out records are used to destroy. account for population movement, work assignments, and accountability of food service staffing needs.

CONTENT: This record series covers records that detail the offenders, inmates, or juveniles that are assigned to work in the food service area.

These include, but are not limited to, the following forms:
DOC-766A Kitchen Out Count
DOC-1486A Wisconsin Secure Program Facility Food Service Sign-In/Sign-Out Log
DOC-14868 Facility Sign-In I Sign-Out Log

Lifecycle Language: The official records 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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Creation) + 3 years and destroy

00184000. **SEX OFFENDER CASE FILE** **EVT+60** **DEST** **Y**

Purpose: The reason for creation of this record series is to document activity and actions regarding a sex offender under supervision with the Division of Community Corrections (DCC).

Retention Period Justification: An offender in this record series has been flagged as a "Sex Offender" by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in another state or jurisdiction, etc. It has been requested by Wisconsin Department of Justice (DOJ) to retain these records an extended time in order to have documents in the event of proceedings relating to Wis. Stat. ch. 980 Sexually Violent Person Commitments.

Contents: This record series consists of forms of each case file and may include, but is not limited to, the sections listed on Electronic Case Records Manual (ECRM) Case File Setup.

Section 1: Case Activity Record: records related to offender's social history including face sheet, probation social investigation, rules of community supervision, Intake/discharge records, prior record listing, unified case plan, and conditions/supervised release rules.

Section 2: Court Documents: court records related to probation, parole, extended supervision, intensive supervision, judgment of conviction, supervised release and early discharge.

Section 3: Violation Investigation Documents: documents related to violations, warrants, apprehension requests, situation alerts, and absconder locator information.

Section 4: Confidential Documents and Release of Information: records related to health information, victim information, treatment information, and referral for services.

Section 5: Miscellaneous Supervision Forms: supervision documents including travel permit, Interstate Compact documents, electronic monitoring enrollment, home visit waiver, and employment services programs.

Section 6: Miscellaneous Correspondence: correspondence sent to or received from the offender.

Section 7: Institution Documents: documents related to an offender's previous incarceration in a Department of Corrections (DOC) facility including parole planning information, release plan information, sentence information, visitor lists, and financial documentation.

Section 8: Revocation Documents: documents related to an offender's revocation from supervision including hearing notices, revocation order and warrant, subpoenas, and revocation summary reports.

Section 9: Offender Report Forms: DOC-8 (Report). Information gathered on the form includes changes to address, employment, police contact, and education status. (This section of the DCC Offender Case File is retained in accordance with RDA 184A).

Section 10: Sex Offender Documents: documents related to sex offender risk assessment, release notification, registration form, disclosure questionnaire, residence assessment, activity request, registration non-compliance investigation, registrant information /home visit, evaluation report, notice of Wis. Stat. § 301.475 on school premises, and registry update.

Section 11: Offender Financial Information: documents related to an offender's payment for supervision fees, court ordered obligations, wage assignments and payment ledgers.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is the termination date defined as the date the offender is terminated from supervision or court ordered discharge. RDA 186 defines retention for a deceased sex offender.

Confidentiality:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records
Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

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

00184A00. SEX OFFENDER REPORT FORM (DOC-8) EVT DEST Y

Purpose: The reason for creation of this record series is to document changes to address, employment, education status, police

contact, vehicle change, income change, and payment submission for the sex offender while under supervision with the Division of Community Corrections (DCC).

Content: This record series consist of "Report" forms, (DOC-8), for each offender placed under the supervision of the DCC. Information gathered on the form includes change of address, employment, police contact, and education status. The form is completed by the offender and is retained in the DCC Offender Case File, Section 9. This form is utilized during supervision of offender, and information from this form is then entered into Department of Corrections (DOC) electronic system for long-term retention. The form is used as a means to gather this information for data entry.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is termination date defined as the date that the offender is terminated from supervision, court ordered discharge, or death. This RDA authorizes destruction of these report forms when the offender is terminated from supervision as the offender can no longer be disciplined or revoked based on the signature on the form.

Retention Justification: Retention is Event +O Years and Destroy Confidential. This record is retained throughout the offender's supervision. For
example, if an offender is court ordered to a two-year term of probation, this form(s) is/are retained during the entire time of supervision and then destroyed only when the offender is terminated (discharged) from supervision.

Confidentiality:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (termination date) and destroy confidential

00185000. CHAPTER 980, SEXUALLY VIOLENT PERSON COMMITMENTS, FORENSIC EV/ EVT+60 DEST Y

Files are created and maintained in the Chapter 980 Forensic Evaluation Unit for Division of Adult Institutions (DAI) or Division of Juvenile Corrections (DJC) for offenders involved in the Chapter 980, Sexually Violent Person Commitment, process after the completion of an End of Confinement Review Board (ECRB) report or DJC Sexually Violent Persons Act Committee report that refers the offender for a Special Purpose Evaluation (SPE) by a Chapter 980 Unit psychologist. Documents may include, but are not limited to, the following: ECRB Report, SPE Report, notes of the evaluating psychologist, Presentence Investigation (PSI) reports, Judgments of Conviction, criminal complaints, district attorney and law enforcement records, and other records obtained from the DAI, DJC, and/or the Division of Community Corrections (DCC). Only the SPE report, including attachments to that report and the notes of the evaluating psychologist, are retained for an offender who is not referred to the Department of Justice (DOJ) for possible commitment under Chapter 980.

JUSTIFICATION: The records pertaining to individuals who are identified by the DOC as sex offenders must be retained longer than the records for individuals who are not identified as sex offenders due to the relevance for Wis. Stat. Chapter 980, Sexually Violent Person Commitments.

CONFIDENTIAL:
42 C.F.R. Part 2, 45 C.F.R. Part 160,45 C.F.R. Part 164, Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 252.15, Wis. Stat. § 303.388, Wis. Stat. §938.78, Wis. Stat Ch. 961, Wis. Stat. §972.15, Wis. Admin code § DHS

92.08

EVENT = Date of completion of ECRB review

RETENTION: EVENT + 60 years and destroy confidential

00185A00. CHAPTER 980, SEXUALLY VIOLENT PERSON COMMITMENTS, BUREAU OF H EVT+60 DEST Y

Records series consists of documents that track a Division of Adult Institution (DAI) offender's progress through the Ch. 980 legal process. Prior to the release from incarceration the Department of Corrections (DOC) determines whether a person designated as a sex offender meets the criteria for referral for civil commitment under Wis. Stat. Chapter 980, Sexually Violent Person Commitments. A member of the End of Confinement Review Board (ECRB) reviews existing relevant records and creates records related to the Ch. 980 process to recommend whether the offender should be referred for an evaluation by a forensic psychologist, referred to as a Special Purpose Evaluation (SPE). Results of the SPE determine if the DOC will refer the offender to the Department of Justice (DOJ) for possible commitment under Ch. 980.

CONFIDENTIAL:
42 C.F.R. Part 2, 45 C.F.R. Part 160, 45 C.F.R. Part 164, Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 252.15, Wis. Stat. § 303.388, Wis. Stat. § 938.78, Wis. Stat Ch. 961, Wis. Stat. § 972.15, Wis. Admin code § DHS 92.08

EVENT = Date that ECRB determines that inmate found not to meet criteria for civil confinement

RETENTION: EVENT + 60 years and destroy confidential

00186000. SEX OFFENDER CASE FILE (DECEASED) EVT+7 DEST Y

Purpose: The reason for creation of this record series is to document activity and actions regarding a sex offender under supervision with the Division of Community Corrections (DCC).

Retention Period Justification: An offender in this record series has been flagged as a "Sex Offender" by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in another state or jurisdiction, etc. This is similar to RDA 184, except the sex offender has been identified as deceased and this file will not be needed for the extended retention for proceedings relating to Wis. Stat. ch. 980 Sexually Violent Person Commitments.

Contents: This record series consists of forms of each case file and may include, but is not limited to, the sections listed on Electronic Case Records Manual (ECRM) Case File Setup.

Section 1: Case Activity Record: records related to offender's social history including face sheet, probation social investigation, rules of community supervision, Intake/discharge records, prior record listing, unified case plan, and conditions/supervised release rules.

Section 2: Court Documents: court records related to probation, parole, extended supervision, intensive supervision, judgment of conviction, supervised release and early discharge.

Section 3: Violation Investigation Documents: documents related to violations, warrants, apprehension requests, situation alerts, and absconder locator information.

Section 4: Confidential Documents and Release of Information: records related to health information, victim information, treatment information, and referral for services.

Section 5: Miscellaneous Supervision Forms: supervision documents including travel permit, Interstate Compact documents, electronic monitoring enrollment, home visit waiver, and employment services programs.

Section 6: Miscellaneous Correspondence: correspondence sent to or received from the offender.

Section 7: Institution Documents: documents related to an offender's previous incarceration in a Department of Corrections (DOC) facility including parole planning information, release plan information, sentence information, visitor lists, and financial documentation.

Section 8: Revocation Documents: documents related to an offender's revocation from supervision including hearing notices, revocation order and warrant, subpoenas, and revocation summary reports.

Section 9: Offender Report Forms: DOC-8 (Report). Information gathered on the form includes changes to address, employment, police contact, and education status. (This section of the DCC Offender Case File is retained in accordance with RDA 184A).

Section 10: Sex Offender Documents: documents related to sex offender risk assessment, release notification, registration form, disclosure questionnaire, residence assessment, activity request, registration non-compliance investigation, registrant information /home visit, evaluation report, notice of Wis.Stat. § 301.475 on school premises, and registry update.

Section 11: Offender Financial Information: documents related to an offender's payment for supervision fees, court ordered obligations, wage assignments and payment ledgers.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is the date of death. Confidentiality:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records
Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (date of death) + 7 years and destroy confidential

00187000. CALL-IN CHECK RECORDS **EVT+1** **DEST** **Y**

For use with, but not limited to, DOC-2225 and DOC-1559 or their equivalent. Thi?? records series is used to m??intain arid record wellness checks and safety for third shift staff.

Confidentiality of Call-In Records are included under Wis. Stat. § 146.82, 42 C.F .R. pt. 2., 45 C.F.R. pt. 164, and Wis. Stat. § 19.35(1)(a).

The official record in this series may be transferred to, or maintained in, 'electronic/digital format for the full retenti;n ??;??iod. ·To ??omply ·. 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 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 shirft) + 1 year and destroy confidential

00188000. USE OF FORCE RECORDS **EVT+11** **DEST** **Y**

The Department of Corrections has a policy that dictates the recording of use of force situations (Division of Adult Institutions (DAI} Policy 306.07.01 --Use of Force). For use with, but not limited to, incidents captured and downloaded onto electronic media, DOC-1960, DOC- 11 O and review checklists, after action reviews, corrective action plans, and supporting documentation.

This records series consist of records relating to planned and unplanned use of force incidents. Records are reviewed by security supervisors for training purposes, litigation, and due process hearings.

Confidentiality of these records included under Wis. Stat.§ 146.82, 42 C.F.R. pt. 2, 45 C.F.R. pt. 164, Wis. Stat.§ 146.82 and Wis. Stat.§ 19.35(1)(a).

Event is defined as review of tape after use of force to determine if other action needs to be taken, additional training, end of litigation, due process hearing, or date of recording, whichever is later.

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 these images is acceptable. Upon verification of
the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 11 years and destroy confidential

00189000. **SECURITY INSPECTION RECORDS** **EVT+2** **DEST** **Y**

This record series consists of forms used for inspections within Wisconsin Prison System facilities. For use with, but not limited to, DOC-714, DOC-1301 , DOC-1426, DOC-1426A, DOC-1426B and DOC-1455 or their equivalents.

This record series ensures inmate cells and facility areas comply with the standards set forth in the Wis. Admin. Code DOC ch. 306 and Division of Adult Institutions (DAI) Policy.

Entry into, and inspections of, all areas of DAI facilities conducted by a Department of Corrections staff member at any time. The institution or facility shall maintain a record of all inspections.

Confidentiality of inspection records are included under Wis. Stat. § 146.82, 42 C.F .R. pt. 2, 45 C.F .R. pt. 164, Wis. Stat. § 146.82 and Wis. Stat.§ 19.35(1)(a).

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 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 inspection) + 2 years and destroy confidential

00190000. **FOOD MANAGEMENT COST, MENU, NUTRITION, AND MEAL PATTERNS INPU** **EVT+3** **DEST** **Y**

Purpose: These records serve to track project and meal costs for input to the budget.

CONTENT: This record series covers inputs and outputs used to make meal cost projections, menus, nutrition, and meal patterns for DOC institutions, facilities and schools. Budget information is submitted to the Office of Budget and Facilities Management to combine with expected institution population figures to produce the total dollars to budget for food. These records include Department of Administration (DOA) inflation factor memos as well as other food service reports and data. In addition these records include menus, nutrition, meal patterns and other various data related to Food Management.

Confidential: (Some of these records may contain confidential information)

Federal Laws:
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 938.78 Juvenile Records

Lifecycle Language: The official records 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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

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

00196000. **INVENTORY - SHARPS, DISHWARE AND UTENSILS** **EVT+0/6** **DEST** **N**

PURPOSE: These inventories are utilized for reordering and can be used as a security check.

CONTENT: This series is an inventory of all sharps (knives and other items potentially dangerous items), dishware and utensils currently in the storeroom and in use in the food service areas in the institution, facilities and schools.

These include, but are not limited to, the following forms:
DOC-1461 Daily Sharp Count - Food Service
DOC-1461 B Daily Sharp Count - Food Service WSPF
DOC-1461C Daily Sharp Count - Food Service - DACC

Lifecycle Language: The official records 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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Creation) + 6 months and destroy

00198000. **SAFETY, SANITATION, AND SECURITY INSPECTIONS, CHECKLISTS OR LOGS** **EVT+3** **DEST** **N**

PURPOSE: These records serve as a reference, and are used for documentation destroy. purpose in the event of an audit, lawsuit, or inmate complaints.

CONTENT: These checklists or logs monitor and report the safety, security, and sanitation in the cafeterias, servery, and kitchens for institutions, facilities and schools. They document the sanitary conditions in food preparation, storage, and/or serving areas.

In addition, the checklists are reminders for security and daily routine activities. This includes, but is not limited to, sanitation, temperatures, food quality, portions, personnel appearance, and food storage.

These include, but are not limited to, the following forms:

DOC-1838 Living Unit Temperature Log
DOC-2171 Daily Food And Equipment Temp Log
DOC-2171A De-Central Daily Food & Equipment Temp Log
DOC-2172 Daily Food Temperature Log
DOC-2172A Food Cooling Log
DOC-2173 Monthly Dish Machine Temperature Log
DOC-2174 Monthly Cooler Freezer Temp Log
DOC-2174A Food Service Cooler/Freezer/Dry Storage Temperature Log
DOC-2175 Monthly Milk Dispenser Temperature Log
DOC-2222 Food Service Audit (FSM 204)
DOC-2332 Thermometer Calibration Record

Lifecycle Language: The official records 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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Creation) + 3 years and destroy

00200000. COUNT SLIPS EVT+1 DEST N

These records include any and all approved official count forms, to include: DOC-898 and all other forms utilized by Department of Corrections facilities to document institution or facility unit count. Count is held at various times throughout the day/24-hour period. These records provide an actual body count of inmates on each unit of an institution or facility.

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 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 count) + 1 year and destroy

00201000. SECURITY HEARING RECORDS EVT+1 DEST Y

This records series consist of files for each inmate that are used during the time the inmate is incarcerated in the Wisconsin state prison system. These files can contain security records related to conduct reports, administrative confinement hearings and other related
documents. Additional records may also be retained in these files depending upon the needs of the institution or facility.

These records are accessed by the security office staff, supervisors, unit managers, and Institution Complaint Examiners (ICE), Initial Classifications (specific to Dodge Correctional Institution (DCI), Taycheedah Correctional Institution (TCI) and Milwaukee Secure Detention Facility (MSDF)) and Reclassification (for all sites) Committees. These records are used to preserve and track inmate compliance, non-compliance, and dispositions when the rules of the institutions or facilities are violated. These records also ensure the safety of DOC staff, facilities, and inmates through enforcement of the established policies and procedures of the Wisconsin state prison system.

Confidentiality of records included under Wis. Stat.§ 146.82, 42 C.F.R. pt. 2, 45 C.F.R. pt. 164, Wis. Stat.§ 950.04(1v), Wis. Stat.§ 938.78, Wis. Stat.§ 48.78 and Wis. Stat.§ 19.35(1)(a).

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Maximum discharge date) + 1 year and destroy confidential

00202000. RESTRICTED RECORDS / FILES - SECURITY EVT+11 DEST Y

These records consist of a confidential file for inmates incarcerated in the Wisconsin State Prison System. They contain confidential security records such as evidence, contraband, or other restricted gang related material. Records will be forwarded to the security office by the adjustment committee when there is a finding of guilt. Contraband tags may be attached to the contraband bag and are connected to Incident Reports and Conduct Reports.

Records are used as evidence to ensure the safety of Department of Corrections staff, facilities, and inmates through enforcement of the established policies and procedures of the Wisconsin State Prison System. These records are also used to respond to lawsuits, appeals, writs, complaints, and/or requests from other institutions, facilities and/or agencies.

Confidentiality for records are covered under Wis. Stat. § 19.35(1)(a), Wis. Stat. § 146.82, 42 C.F.R. pt. 2, 45 C.F.R. pt. 164 and Wis. Stat.§ 950.04(1 v). Event is conclusion of investigation, litigation, due process or any other court related activity, whichever is later.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 11 years and destroy confidential

00203000. VISITOR QUESTIONNAIRES NOT PROCESSED EVT+0/2 DEST Y

This record series acknowledges receipt of a DOC-21AA Visitor Questionnaire and any decisions related to determining that the request will not be processed. These records are the original DOC-21AA Visitor Questionnaire received from the potential visitor and the DOC-2411Visitor Questionnaire Not Processed correspondence to the inmate advising of the decision determining that the request will not be processed. Visitor Questionnaires that are processed are maintained under the Social Services File governed under one of three RDAs: RDA 72, RDA 209 or RDA 210 based on inmate status.

Certain documents contain Personally Identifiable Information (PII) and confidential information under Wis. Stat. § 19.35(1)(a) regarding the potential visitor. Confidentiality would apply to the DOC-21AA Visitor Questionnaire documents, but not the DOC-2411 Visitor Questionnaire Not Processed correspondence.

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 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 Receipt) + 60 days and destroy confidential

00205000. BUREAU OF HEALTH SERVICES (BHS) STAFF TRAINING MATERIALS EVT+7 DEST N

This record series consists of training-related materials produced and approved by Bureau of Health Services (BHS) for regularly scheduled training of health care and non-health care staff to educate them about Department of Corrections (DOC) health care operations. Training modules address relevant laws, policies and procedures, protocols, treatment guidelines, and other health related concerns.

Records include, but are not limited to, blank examples of various DOC forms related to the training topics which may be included in the training modules in order to instruct attendees on how to complete the forms. For example; presentations, brochures, attendance rosters.

JUSTIFICATION: The DOC considered Administrative GRS ADMIN453 Training/Course Materials and determined that the retention is not long enough for the DOC BHS business need. These BHS Training records are needed to document changes in procedures, protocols, treatment guidelines and other health related concerns due to the nature of our business needs and potential litigation risk.

RETENTION: EVENT (Date of Training Course) + 7 years and destroy

00207000. BUREAU OF HEALTH SERVICES AND DIVISION OF JUVENILE CORRECTIONS CR+7 DEST Y

Records track the performance of Division of Adult Institutions and Department of Juvenile Corrections health care staff and required routine work duties. Records include, but are not limited to, forms that track medication inventories; weekly lists of Ch. 980 (Sexually Violent Person Commitment) eligible inmates and notification letters; audits of the quality of health care records and implementation of health care related policies and procedures, protocols and treatment guidelines; collection of data such as monthly dental procedures; and patient movement logs. The documents may include information about one or more offenders, which are not filed in the offender's Health Care Record. Some documents may include individually identifiable health information protected by Wisconsin and federal confidentiality laws.

CONFIDENTIAL:
21 C.F.R. Part 1304, 21 C.F.R. Part 1305, 21 C.F.R. Part 1317, 42 C.F.R. Part 2, 45 C.F.R. Part 160, 45 C.F.R. Part 164, Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.38, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 252.15, Wis. Stat. § 303.388, Wis. Stat. § 938.78, Wis. Stat Ch. 961, Wis. Admin. Code Ch. DOC 17, Wis. Admin Code Ch. DOC 7, Wis. Admin Code Ch. DOC 8

RETENTION: EVENT (Creation) + 7 years and destroy confidential

00209000. ADULT INSTITUTION CASE FILES - SEX OFFENDER EVT+60 SHSW Y

This record series consists of files for each offender placed in an adult correctional facility under the authority of the Department of Corrections. The contents of each offender case file include four separate folders consisting of social service, legal, visitor, and education files. A case file is created for each new admission to an adult correctional facility unless a previously created case file has yet to reach discharge/termination.

NOTE: An offender in this records series has been flagged as a “Sex Offender” by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in

another state or jurisdiction, etc. It has been requested by Wisconsin DOJ to retain these records an extended time in order to have documents in the event of Chapter 980 proceedings. Retention: These records document an inmate's activity, movement, conduct, education, and many more items listed above. These files are needed in the event that the offender is deemed to be reviewed under Chapter 980 proceedings. The Wisconsin Department of Justice and DOC staff needs files from previous incarcerations to determine if there is a need for Chapter 980 proceedings. Per Wis. Stat. § 16.61(3)(b) these files require long-term retention.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Confidential:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

Event is termination date. Termination is defined as the date that the offender is discharged, receives direct discharge from institution, or court ordered discharge.

RETENTION: EVENT + 60 years and transfer to State Historical Society (10% random sample) and the rest are Destroy Confidential

00210000. ADULT INSTITUTION CASE FILES - SEX OFFENDER (DECEASED) EVT+7 DEST Y

NOTE: This record series is similar to RDA 209, except that when the Department receives notification that the offender has been identified as deceased, this file will not be needed for the extended retention of RDA 209 as the offender will not be considered for Chapter 980 status.

This record series consists of files for each offender placed in an adult correctional facility under the authority of the Department of Corrections. The contents of each offender case file include four separate folders consisting of social service, legal, visitor, and education files. A case file is created for each new admission to an adult correctional facility unless a previously created case file has yet to reach discharge/termination.

An offender in this records series has been flagged as a "Sex Offender" by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in another state or jurisdiction, etc.

Confidential:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. §19.35(1)(am) Safety and Security
Wis. Stat. §19.36(8) Confidential Informant

Wis. Stat. §51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. §51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. §71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat. §118.125 Pupil Records
Wis. Stat. §146.82 Health Care Records
Wis. Stat. §146.83 Access to Patient Health Care Records
Wis. Stat. §165.79 DNA Analysis and Data Bank
Wis. Stat. §252 HIV Test Results
Wis. Stat. §905.03 Lawyer-Client Privilege
Wis. Stat. §905.09 Informant
Wis. Stat. §905.10 Identity of Informer
Wis. Stat. §938.78 Juvenile Records
Wis. Stat. §950.04(1v) Rights of Victims
Wis. Stat. §972.15 Pre-Sentence Investigation

Administrative Rules:
Wis. Admin Code Ch. 309.39(7) Inmate Phone Calls
Wis. Admin Code Ch. 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC Ch. 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

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 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 death) + 7 years and destroy confidential

00212000. BUREAU OF HEALTH SERVICES CENTRAL OFFICE MORTALITY REVIEW FILE EVT+11 DEST Y

Records consist of individual identifying confidential documents related to the investigation of the death of an offender while in a Division of Adult Institutions or Division of Juvenile Corrections facility. The records include, but are not limited to, documents from the decedent's Health Care Record, summaries of relevant documents in the Health Care Record official forms completed by Department of Corrections (DOC) employees for the investigation at the facility at which the offender was residing at the time of death, and forms and reports completed by the Committee on Inmate and Youth Deaths (COIYD). Death certificates and copies of reports by medical examiners and coroners may also be included.

CONFIDENTIAL:
42 C.F.R. Part 2, 45 C.F.R. Part 160, 45 C.F.R. Part 164, Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.37, Wis. Stat. § 146.38, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 252.15, Wis. Stat. § 303.388, Wis. Stat. § 938.78, Wis. Stat. Ch. 961, Wis. Stat. § 972.15, Wis. Admin Code § DHS 92.08, Wis. Admin. Code Ch. DOC 17, Wis. Admin code Ch. DOC 7, Wis. Admin Code Ch. DOC 8

RETENTION: EVENT (Date review complete) + 11 years and destroy confidential

00214000. COST AND ESTIMATES FIS+3 DEST N

Reports of various operations throughout the industries. Used to establish an estimated cost of production and to establish selling price.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (end of fiscal year) + 3 years and destroy

00215000. CAD DRAWINGS CR+15 DEST Y

Computer assisted drawings with specific products referenced by project number.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Creation) + 15 years and destroy confidential

00216000. **SALES ORDERS** **EVT+15** **DEST** **N**

Itemized list of products and services provided to customers. This includes descriptions, quantity sold, amounts, customer name and numbers, etc.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (date product sold or service provided) + 15 years and destroy

00218000. **SALES COMMISSION** **FIS+3** **DEST** **N**

BCE'S furniture sales team employees earn quarterly sales commission for sales to all customers, internal or public, as part of their salary/pay.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (end of fiscal year) + 3 years and destroy

00219000. **SHIPPING ORDERS** **FIS+3** **DEST** **N**

Acknowledgement on an order for each shipment leaving the facility. Used to support invoices and contains information concerning quantity, description, shipment, etc.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (end of Fiscal year) + 3 years and destroy

00220000. **DAIRY CATTLE REGISTRY CERTIFICATES** **EVT+20** **DEST** **N**

Office certificates from Holstein-Friesian Association of America showing registry number, birth date, and ancestry of individual cattle.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Date sold or death) + 20 years and destroy

00221000. **INDIVIDUAL LIFETIME COW PERFORMANCE RECORDS** **EVT+12** **DEST** **N**

Records show the performance of each cow such as milk and offspring
production and also include an accumulative record of milk, test, butterfat, and calves produced by each cow in state herds.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Date sold or death) + 12 years and destroy

00222000. **HERD INFORMATION REPORT (HIR) PRODUCTION BOOKS** **EVT+20** **DEST** **N**

Records for herd showing monthly milk, test, and fat for each milking
cow.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Date sold or death) + 20 years and destroy

00223000. DAIRY AND CREAMERY MONTHLY REPORTS EVT+3 DEST N

Monthly Dairy and Creamery reports indicating milk cost, commodities on hand, commodities issued and received, etc.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

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

00225000. PRINTING JOB JACKETS EVT+3 DEST N

Envelopes containing samples of work to be completed, work and job card indicating material, time in production and cost record.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (date work completed or sample rejected) + 3 years and destroy

00226000. LICENSE PLATE SUMMARY EVT+3 DEST N

Summary of single license plates shipped. Accumulated from daily production report and used for future production.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

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

00227000. PAROLE HEARING RECORDINGS EVT+0/6 DEST Y

CONTENT: This record series consists of recordings of inmate parole/earned release hearing. These recordings include an introduction by the commissioner; commissioner's name; date and place of hearing; tape number; materials located in the Institution Case File that have been reviewed prior to hearing; inmate name and DOC#.

PURPOSE: The purpose of this record is to record the proceedings of an inmate's parole/earned release hearing.

Each recording has a pre-assigned number and may contain more than one (1) inmate's hearing. The commissioner conducting the hearing is responsible for recording the hearing.

The forms include but are not limited to: None

CONFIDENTIAL:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records 45 C.F.R. Part 160
Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. §19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. §51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. §51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. §71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. §146.82 Health Care Records
Wis. Stat. §146.83 Access to Patient Health Care Records
Wis. Stat. §165.79 DNA Analysis and Data Bank Wis. Stat. §252 HIV Test Results
Wis. Stat. §905.03 Lawyer-Client Privilege Wis. Stat. §905.09 Informant
Wis. Stat. §905.1O Identity of Informer Wis. Stat. §938.78 Juvenile Records Wis. Stat. §950.04(1v) Rights of Victims
Wis. Stat. §972.15 Pre-Sentence Investigation

Administrative Rules:
Wis. Admin Code Ch. 309.39(7) Inmate Phone Calls
Wis. Admin Code Ch. 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC Ch. 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

See Confidentiality of Records section below and application of the balancing test

RETENTION: EVENT (Date of hearing) + 6 months and destroy confidential

00228000. MENTAL HEALTH RECORDS FOR SEX OFFENDERS EVT+60 DEST Y

Purpose: The purpose of this record series is to ensure delivery of and document mental health care services to sex offenders under the supervision of the Division of Community Corrections (DCC).

Retention Period Justification: An offender in this record series has been flagged as a "Sex Offender" by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in another state or jurisdiction, etc. It has been requested by Wisconsin Department of Justice (DOJ) to retain these records an extended time in order to have documents in the event of proceedings relating to Wis. Stat. ch. 980 Sexually Violent Person Commitments.

Contents: This record series consists of individually identifiable confidential documents relating to a sex offender completed by a DCC Mental Health provider (psychologist or psychiatrist), or by a person under the direction of a mental health care provider, and filed in the official DCC Mental Health Record maintained for each sex offender under the supervision of the DCC.

The content of each file may include the following, but not limited to:

POC-0034	Notice of Privacy Practices
DOC-0223A	Psychological Report DCC
DOC-1163A	Authorization for Use and Disclosure of Protected Health Information (PHI)
DOC-1923	Limits of Confidentiality of Health Information
DOC-2601	Referral for Mental Health Services
DOC-2718	HIPAA Breach Report by Employee
DOC-3011	Fees for Copies of Health Care Records
DOC-3335	Request for Protected Health Information for Ongoing Treatment, Payment or Health Care Operations
DOC-3342	Disclosure of PHI Without Patient Authorization
DOC-3484	Request by Current Patient for Amendment/Correction of Protected Health Information (PHI)
DOC-3484A	Request by Former Patient for Amendment/Correction of Protected Health Information (PHI)
DOC-3487	Request by Current Patient for Restriction on Use/Disclosure of PHI
DOC-3487A	Request by Former Patient for Restriction on Use/Disclosure of PHI
DOC-3488	Request for Alternative Communication of PHI
DOC-3489	Request for Accounting of Disclosures of PHI
DOC-3491	Acknowledgment of Receipt of Notice of DOC Privacy Practices
DOC-3498	Informed Consent for Psychological Services Provided by Intern-Student
DOC-3669	DCC Mental Health Record - Envelope
DOC-3671	DCC Psychological Services Contact DCC Psychological Services Summary
DOC-3672	DCC Psychological Services Summary
DOC-2465	Informed Consent: Sex Offender Treatment Evaluation
DOC-2473	Sex Offender Treatment Evaluation Attitudes Questionnaire
DOC-2473S	Sex Offender Treatment Evaluation: Attitudes Questionnaire - Spanish Version
DOC-2474	Brief Sexual History Questionnaire
DOC-2474S	Brief Sexual History Questionnaire - Spanish Version
DOC-2652	Sex Offender Evaluation Report - DCC
DOC-3472	Mental Health Screening Interview
DOC-3770	Informed Consent for Psychological Evaluation
DOC-3776	Sex Offender Treatment Evaluation - Male
DOC-3776A	Sex Offender Treatment Evaluation - Female

RETENTION: EVENT (Termination from DCC Supervision) + 60 years and destroy confidential

DOC-3776B	Sex Offender Treatment Evaluation-Abbreviated
DOC-3776C	Sex Offender Treatment Evaluation Males With Only Child Pornography Convictions
DOC-3776D	Sex Offender Treatment Evaluation - Males (Adaptive)
DOC-3777	Sex Offender Program Report - Male
DOC-3777A	Sex Offender Program Report - Female
DOC-3777A	Sex Offender Program Report Adaptive - Males

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is the termination date defined as the date the sex offender is terminated from supervision or court ordered discharge.

Confidentiality:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records
Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

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

00229000. MENTAL HEALTH RECORDS **EVT+7** **DEST** **Y**

Records ensure delivery and documentation of mental health care services to non-sex offenders under the supervision of the Division of Community Corrections (DCC).

Record series consists of individually identifiable confidential documents relating to an offender completed by a DCC Mental Health provider (psychologist or psychiatrist), or by a person under the direction of a mental health care provider, and filed in the official DCC Mental Health Record maintained for each offender under the supervision of the DCC.

Each file may include the following, but are not limited to: POC-0034, DOC-0223A, DOC-1163A, DOC-1923, DOC-2601, DOC-2718, DOC-3011, DOC-3335B, DOC-3342, DOC-3484, DOC-3484A, DOC-3487, DOC-3487A, DOC-3488, DOC-3489, DOC-3490, DOC-3491, DOC-3498, DOC-3669, DOC-3671 and DOC-3672.

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.

Confidentiality:
Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results

Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

RETENTION: EVENT (Last date of service with psychologist) + 7 years and destroy confidential

00230000. OBSERVATION, CONTROL SEPARATION, AND RESTRAINT PLACEMENT DOC EVT+11 DEST Y

These records include, but are not limited to, DOC-112, DOC-112A, and DOC-111. This record series document?? placement details when an offender is placed in clinical observation, medical observation, control separation and when mechanical restraints are used to confine an offender to his/her bed.

These records are used to record details of placement and checks on offenders as mandated by Wis. Admin. Code DOC chs .. 306 and 311.The documents show ttie time of the check, the staff member completing the check and the activity or behavior of the offender at
the time of the check. This provides information for medical, clinical and/or security staff conducting review of the placement when determining if the placement remains necessary.

Confidentiality ofrecords included under Wis. Stat.§ 146.82, 42 C.F.R. pt. 2, 45 C.F.R. pt. 164 and Wis. Stat.§ 19.35(1)(a).

Event is after the date these documents have been reviewed or the date the offender has been removed from Observation, Control Separation, or Restraints, whichever is later.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 11 years and destroy confidential

00231000. EMPLOYEE HEALTH - ANNUAL TUBERCULOSIS SCREENING AND TESTING EVT+8 DEST Y

This record series consists of documents relating to employer provided TB Skin testing and screening, consents/refusals by employees, test results, and authorizations for disclosure of results.

CONFIDENTIAL:
29 C.F.R. § 1904.11, 45 C.F.R. Part 164, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 51.30

RETENTION: EVENT (Date of test or test reading) + 8 years and destroy confidential

00232000. EMPLOYEE HEALTH - HEPATITIS B VACCINATIONS EVT+30 DEST Y

Records include, but are not limited to, the offer by the employer to provide Hepatitis B vaccinations to employees, consent or refusal by employees and documentation of the administration of the Hepatitis B vaccinations.

CONFIDENTIAL:
29 C.F.R. § 1910.1030, 45 C.F.R. Part 160, 45 C.F.R. Part 164, Wis. Stat. § 146.82, Wis. Stat. § 146.83

RETENTION: EVENT (Date of termination of employment) + 30 years and destroy confidential

00233000. OFFENDER RESTRICTION / PRECAUTION RECORDS EVT+11 DEST Y

These records consist of restrictions/precautions on inmates when placed in segregation. These records contain offender name, Department of Corrections number (DOC), date, supervisor name making placement, conduct or incident report number, restriction placement duration, reason for placement, specific restrictions and security precautions, and previous/current restrictions. For use with, but not limited to, DOC-2297.

These records are used to give notice to, the inmate(s) and DOC staff working in the segregation ·units, of any restrictions and/or security precautions put in place and the duration.

Confidentiality of records are included under Wis. Stat. § 146.82, 42 C.F.R. pt. 2, 45 C.F.R. pt. 164, Wis. Stat. § 19.35(1)(a) and Wis. Stat. §19.36(8).

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 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 restriction or precaution) + 11 years and destroy confidential

00234000. MAIL READ LOGS EVT+11 DEST Y

These records list the mail or item(s) being reviewed, reason(s) for reading mail or inspecting item(s), type of item, the sender and the intended recipient of the mail/item and whether the item is being allowed. For use with, but not limited to, DOC-0240 or its equivalent.

Records document any mail or item(s) received through the mail and the reasons for them being reviewed. The form provides institution wardens and center superintendents a summary of mail/items being received in mailrooms.

Wis. Admin. Code ch. 309.05 provides directive to the procedures regarding inmate mail. Confidentiality of these records are included under Wis. Stat. § 146.82, 42 C.F.R. § pt. 2, 45 C.F.R. pt. 164 and Wis. Stat. § 19.35(1)(a).

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 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 reviewed or inspected) + 11 years and destroy confidential

00235000. PRISON RAPE ELIMINATION ACT (PREA) CASE FILE EVT+5 DEST Y

Purpose: The purpose of this records series is to ensure the department conducts an administrative investigation into allegations of sexual abuse and sexual harassment in confinement in accordance with the National Prison Rape Elimination Act (PREA). The Prison Rape Elimination Act (PREA) Office is responsible for conducting or overseeing investigations of alleged sexual abuse and sexual harassment in confinement. These records may include investigations of inmates, offenders, youth, and DOC employees, volunteers, and/or contractors.

Contents: This record series contains sexual abuse and sexual harassment administrative investigation files, which are required to conform to PREA and DOC policy. .

The forms may include but are not limited to:
DOC-9 Adult Conduct Report ·
DOC-9A Adult Conduct Report (Continued)
DOC-67 Notice of Offender Placed in Temporary Lockup
DOC-78 Confidential Informant Statement
DOC-78A Summary of Confidential Informant Statement(s)
DOC-82A Offender on Offender Assaults
DOC-239 Order to Forward Mail
DOC-1163A Authorization for Use and Disclosure of Protected Health Information (PHI)
DOC-1271 Employee Disciplinary Investigation
DOC-1445 Evidence/Property Chain of Custody
DOC-1843 Conduct Report - DJC
DOC-2135 DAI Investigations - Confidential
DOC-2416 PREA Investigation Time Record
DOC-2666 OSO PREA Investigation Tracking and Number Request
DOC-2666A OSO PREA Investigation Disposition
Medical Exam records from local hospital
Photographs ·

Life cycle 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 is defined as the date the alleged suspect is terminated/discharged/death or other court ordered release from confinement that concludes his/her incarceration OR the date the alleged suspect ends (termination/resignation/retirement, etc.) his/her employment with the Department of Corrections, whichever is later. Although the investigation is complete and closed the retention of PREA records mandate retention until event plus 5 years.

Note that these files are to be retained after the investigation may be closed after this is completed; these records are required to be retained until after the inmate is released from direct discharge, death, or final termination. This does not include extended supervision or ES status.

CONFIDENTIAL:
Federal Laws:
28 C.F.R. Pt. 115 Non-disclosure of confidential or private information
42 C.F.R. Pt. 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Pt. 160 Privacy of Health Information
45 C.F.R. Pt. 164 Protected Health Care Records
State Statutes:

Wis, Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1),(5),(6) Confidentiality Provisions
Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Confidentiality of Patient Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 303.388 Prisoner Medical Records
Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.1O Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation
Administrative Rules:
Wis. Admin. Code § DOC 309.39(7) Inmate Phone Calls
Wis. Admin. Code § DOC 310.16 Confidentiality
Wis. Admin. Code § DOC 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin. Code § DHS 92.08 Criminal Commitments
Wis. Admin. Code § PAC 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (Date the alleged suspect is terminated/discharged/death) + 5 years and destroy confidential

00236000. PRIVACY BREACH INCIDENT CASE FILE **EVT+7** **DEST** **Y**

Purpose: The purpose of the record is to efficiently and effectively receive, mitigate, review and respond to reports of potential privacy breach incidents of Department of Corrections (DOC) confidential information, which do not involve alleged breaches of offender/inmate/juvenile protected health information regulated by the Health Insurance Portability and Accountability Act (HIPAA). The record is guided by DOC privacy policies and procedure.

Contents: The Privacy Breach Incident Case File begins when an incident is reported using the DOC-2721 or some other formal mechanism, and proceeds through various stages which may include, but are not limited to, fact-finding, mitigation efforts, communications, formal reviews, formal determinations, after action reports, and dispositions that result in notification to individuals affected by the incident. The file may include any items pertinent to the review of reported incident, such as breached items or documents and other material relevant to the reported incident.

The forms include but are not limited to:
DOC-2721 Privacy Breach Incident without PHI (Protected Health Information) Report by Supervisor

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 is the date the Privacy Breach Incident Case File is closed. The file is closed when either a final report is completed, or notification(s) to individual(s) affected by the incident is completed, whichever takes longer.

CONFIDENTIAL:
Federal Laws:
28 C.F.R. Ch. I, Pt. 20 Criminal Justice Information
34 C.F.R. § 99 Family Educational and Privacy Act (FERPA)
5 U.S.C. § 552a Privacy Act of 1974
18 U.S.C. § 1028 Federal ID Theft Assumption and Deterrence Act
20 U.S.C. § 1232g Family Educational Rights and Privacy Act (FERPA)
29 U.S.C. Ch. 28 Family Medical Leave Act
42 U.S.C. §§ 405(c)(2)(C)(i), Section 205(c)(2)(C), x and xi - Social Security Protection Act of 201O
42 U.S.C. § 12101 Americans with Disabilities Act 1990
P.L. 111-318 (S. 3789) Social Security Number Protection Act of 2010 State Statutes:
Wis. Stat. § 19.36(10) Employee Personnel Records
Wis. Stat. § 103.13(6) Records Open to Employees, Exceptions
Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 134.98 Wisconsin Data Breach Notification
Wis. Stat. § 230.13 Closed records
Wis. Stat. § 938.78 Juvenile Records

Wis. Stat. § 972.15 Pre-Sentence Investigation
Administrative Rules: None

RETENTION: EVENT (File closure: final report is completed, or notification(s) to individual(s) affected by the incident is completed, whichever takes longer) + 7 years and destroy confidential

00237000. DEPARTMENTAL INTERNAL POLICIES AND PROCEDURES EVT+60 DEST N

CONTENT: Internal Policies and Procedures include a variety of orders, instructions, policies, procedures and how to execute business within the Department of Corrections. These can be issued by program areas or by a central authority. This record series consists of official record for internal directives or orders designed to advise staff of policy and procedure which must be followed and require specific action.

PURPOSE: These records are utilized to document the Department of Correction's policy for the State of Wisconsin. These policies provide clear, concise direction to staff and indicate direction and instruction that is essential for consistent and predictable department operations. These also include required and prohibited actions, notify staff of new addresses and phone numbers of contacts, and keep them up to date on other actions affecting the Division. These provide details about what to do, what not to do, and who does it.

They also affect overall direction for the department, establish a governing principle that mandates or constrains actions has department wide application, change infrequently and set the course for the foreseeable future and ensure compliance or help enhance the department's mission.

Executive Directives are approved through the Office of the Secretary. Policies and Procedures are written by program areas.

Note these may be called but not limited to:
Administrative Directives, Executive Directives, DAI policies, and/or Institution or Facilities Procedures, DAI Security Internal Management Procedures (SIMPS)

The below RDAs in other General Records Schedules will not be used for DOC Internal Policies and Procedures:
RDA FAC00001
RDA ADM00008

The DOC has considered the Administrative General Records Scheduled - RDA-ADM00023 Internal Policy and Procedures and found that this record series is not long enough for our business and legal needs.

Justification for retention: The DOC has a few records series it retains surrounding offender/inmate records, which have 60-year retentions. These internal policies and procedures may have an effect on programs, policies, and procedures that were followed during a specific timeframe, therefore we request to retain the policies in place at the time, to ensure reference if needed. The 60-year retention was derived as the length of time of the longest record series related to offender/inmate program, treatment and other items.

CONFIDENTIAL:
Wisconsin State Statutes:
Wis. Stat.§ 19.31- 19.39 Public Records
Wis. Stat.§ 19.35{l)(am) Safety and Security
Wis. Stat. § 19.36{9) Plans or Specifications for State Buildings
Wisconsin Administrative Code:
Wis. Admin. Code§ DOC 332.17(7)(a-d) Lie Detector Disclosure of Test Information

RETENTION: EVENT (Date approved or effective date) + 60 years and destroy confidential

00238000. SUBJECT FILE - USED FOR POSITIONS EXCEPT APPOINTED STAFF OR EQU EVT DEST Y

CONTENT: These subject files contain specific subject areas relating to departmental issues.

PURPOSE: Subject files are used as a guideline or reference by staff.

Note: Many items in a subject file are copies and are not considered a record, however if the original record is destroyed in accordance with the RDA, this copy may then become the agency record. Do not retain copies longer than necessary.

FORMS: No forms for this RDA

Note: This RDA does not apply to correspondence or other business records, please see appropriate RDAs in the Statewide General Records schedules or DOC specific RDA.

The DOC considered ADM00030, however this record series is for "Appointed Staff or Equivalent Positions" with the records transferred to the Wisconsin Historical Society. As there is no general records schedule for a Subject File record series for those offices, bureaus, and program, it has been determined that the DOC is in need of a record series for this type of record. Many offices, program areas, bureaus, and staff maintain subject files.

CONFIDENTIAL: None

RETENTION: EVENT (Date superseded or no longer needed for reference) and destroy confidential

00239000. ADULT INSTITUTION CASE FILES - ICC AND IGA EVT+7 DEST Y

This record series consists of files for each offender placed in an adult correctional facility under the authority of the Department of Corrections under the Interstate Corrections Compact (ICC) or Intergovernmental Agreement (IGA). The contents of each offender case file include four separate folders consisting of social service, legal, visitor, and education files. A case file is created for each new admission to an adult correctional facility under IGA or ICC.

The Social Service File contains records related to the commitment & admission process, the assessment & evaluation process, parole and release information.

The Legal File contains various records that consist of legal documents necessary for the Department of Corrections to incarcerate an inmate. The file contains the following: Judgment of Convictions, Court Orders, Revocation Order and Warrants, Sentence Computations, Notice of Sentence Data, Offender Conduct Record, legal correspondence, Offender Data, Fingerprints, detainer and notification information, orders to produce, release and discharge documents.

The Visitor Information File contains various documents related to the process of approving or denying potential inmate visitors. The documents will contain PII and confidential information regarding potential inmate visitors.

The Education File contains testing and evaluation records for inmates which may include Test of Adult Basic Education (TABE) test scores, student progress reports, HSED/GED test results, certificates of completion, and evaluation records. This file does not include the Special Education file.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Confidential:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security
Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation
Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

Return to sending state is defined as the date that the offender is returned to the sending state's custody without a plan to return.

RETENTION: EVENT (date of return to sending state or death) + 7 YEARS and destroy confidential

00240000. MOVEMENT OF POPULATION **EVT+100** **DEST** **Y**

This record series consists of logs of all offenders admitted and released at each facility. The forms include but are not limited to: DOC-733 Movement of Population, DOC-910 Movement of Population, and IPTR154 Movement of Population.

These logs contain offender names, DOC numbers, date of movement, time of movement, sending location, receiving location, reason for movement (court, medical, transfer to and from another facility).

These records are utilized to document and identify trends in inmate population. Information identified would include increases and

decreases in inmate population, inmate demographics and committing offenses.

Retention: The life span of a person can be up to 100 years and the department has offender's that receive sentences of that length so in order to allow verification of custody in a prison, the movement of population is needed as a backup to our data systems. Our data systems only date back to 1983 and the extended retention period ensures the retention of prison custody records related to any person who falls within the 100-year life span. Per Wis. Stat. §16.61(3)(b) these files require long-term retention.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Confidential:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information
45 C.F.R. Part 164 Protected Health Care Records

State Statutes:
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 146.83Access to Patient Health Care Records

Administrative Rules:
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

RETENTION: EVENT (Date of movement) + 100 years and destroy confidential

00241000. TRANSFER FILE CHECK-IN LOGS EVT+2 DEST Y

This record series consists of logs of all offender files received for offenders that have transferred in to a facility. The logs document the receipt of files and track follow up upon non-receipt. The logs contain offender names, DOC numbers, date of movement, sending location, and files received.

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 these images is acceptable. Upon verification of the quality and retention of these electronic images, the input record will be destroyed confidentially.

Confidential:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records

State Statutes:
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Administrative Rules:
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

RETENTION: EVENT (Date offender transfers into the facility) + 2 years and destroy confidential

00242000. OFFENDER FILE TRANSFER LISTS EVT+0/1 DEST Y

This record series consists of lists of all offender files sent from one facility to another when an offender transfers out of a facility. The forms include but are not limited to: DOC-2329 Offender File Transfer List.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Confidential:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of alcohol and Drug Abuse Patient Records

State Statutes:
Wis. Stat. §51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. §51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. §146.83 Access to Patient Health Care Records Offender File Transfer Lists

Administrative Rules:
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

RETENTION: EVENT (Date file transfers out of facility) + 1 month and destroy confidential

00243000. PHARMACY OPERATIONS RECORDS - GENERAL EVT+1 DEST N

Records relating to general pharmacy operations that are not related to the purchase, dispensing, or destruction of federally controlled substances.

This includes, but is not limited to: Wholesaler/Supplier invoices (non-controlled substances), general drug inventories, pharmacy reclamation reports, or any general pharmacy reports related to operation, budget, education created on an ad-hoc basis. The records do not include protected health information about individual inmate patients or Department of Juvenile Corrections (DJC) youth and are not protected under confidentiality of law.

RETENTION: EVENT (Date of creation or receipt) + 1 year and destroy

00244000. PHARMACY PRESCRIPTION RECORDS EVT+6 DEST Y

Records related to the receipt, processing, filling, refilling, and storage of prescription information, and the prescription record contained within the pharmacy dispensing system. This record includes documents such as, but not limited to, Prescriber's Orders and variants, a complete prescription history of all prescriptions processed by Bureau of Health Services (BHS) -- Central Pharmacy contained within the pharmacy dispensing system and all prescription records created by BHS -- Central Pharmacy.

CONFIDENTIAL:
21 C.F.R. Part 1304, 21 C.F.R. Part 1305, 21 C.F.R. Part 1317, 42 C.F.R. Part 2, 45 C.F.R. Part 160, 45 C.F.R. Part 164, Wis. Stat. § 51.30, Wis. Stat. § 51.47, Wis. Stat. § 146.38, Wis. Stat. § 146.82, Wis. Stat. § 146.83, Wis. Stat. § 252.15, Wis. Stat. § 303.388, Wis. Stat. § 938.78, Wis. Stat Ch. 961, Wis. Admin. Code Ch. DOC 17, Wis. Admin code Ch. DOC 7, Wis. Admin code Ch. DOC 8

RETENTION: EVENT (Date of creation or receipt) + 6 years and destroy confidential

00245000. PHARMACY OPERATIONS RECORDS - CONTROLLED SUBSTANCES EVT+5 DEST Y

Records related to the purchase, inventory, dispensing, or destruction of federally controlled substances stored at Bureau of Health Services (BHS) – Central Pharmacy or any Department of Correctional (DOC) Institution or Center Health Services Unit (HSU).

This record includes, but is not limited to: Wholesaler/Supplier controlled substance invoices (Central Pharmacy/HSU official record – not the original which is retained in fiscal), controlled substance inventory reports, Class II and Class III IV V Medication Delivery Verification (DOC-3719 and DOC-3720), executed DEA Form 222, Reverse Distributor reports. The records do not include protected health information about individual inmate patients.

CONFIDENTIAL:
21 C.F.R. Part 1304, 21 C.F.R. Part 1305, Wis. Admin. Code DOC 7.11, Wis. Admin. Code DOC 17.05

RETENTION: EVENT (Date of creation or receipt) + 5 years and destroy confidential

00245A00. PHARMACY OPERATIONS RECORDS - CONTROLLED SUBSTANCES POWER EVT+5 DEST Y

Records consist of the Power of Attorney (POA) for Drug Enforcement Agency (DEA) form 222, which is a signed document that grants another person authority to execute DEA Form 222 or place orders on behalf of the registrant.

These records authorize the attorney-in-fact to execute applications for DEA and to sign orders for Schedule I or II controlled substances. The records include, but are not limited to, DEA Form 222 U.S. Official Order Forms - Schedules I & II, Power of Attorney for DEA Forms 222 and Electronic Orders.

CONFIDENTIAL:
21 U.S.C. 828, 21 C.F.R. Part 1305, Wis. Admin. Code DOC 7.11, Wis. Admin Code DOC 17.05

RETENTION: EVENT (Date of revocation) + 5 years and destroy confidential

00247000. PRE-SENTENCE INVESTIGATION (PSI) - NOT SENTENCED TO DOC **EVT+2** **DEST** **Y**

Purpose: The reason for creation of this record series is to document activity and actions obtained or created during the Pre-Sentence Investigation (PSI) process with the Division of Community Corrections (DCC).

Contents: This record series consists of records for defendants sentenced to a straight jail term and/or not placed on/or under the supervision of the Department of Corrections (DOC) upon sentencing after completion of a Pre-Sentence Investigation. The content of each case file may include, but is not limited to, the below sections.

The forms include, but are not limited to, forms listed on Electronic Case Records Manual (ECRM) Case File Setup.

Section 2: Court Documents: court records related to probation, parole, extended supervision, intensive supervision, judgment of conviction, supervised release and early discharge.

Section 4: Confidential Documents and Release of Information: records related to health information, victim information, treatment information, and referral for services.

Section 6: Miscellaneous Correspondence: correspondence sent to, or received from, the offender.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is defined as the date of the sentence hearing.

Confidentiality:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information Wis. Stat. §51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (date of sentence hearing) + 2 years and destroy confidential

00248000. SEX OFFENDER REGISTRANT FILE **EVT+60** **DEST** **Y**

Purpose: The reason for creation of this record series is to retain documentation of activity and actions and be able to provide evidence, in the event of the need, for confidential exchange of information with law enforcement or other agencies. This documentation is gathered during the registration period with the Division of Community Corrections (DCC) in compliance of Wis. Stat. § 301.45.

Retention Period Justification: An offender in this record series has been flagged as a "Sex Offender" by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in another state or jurisdiction, etc. It has been requested by Wisconsin Department of Justice (DOJ) to retain these records an extended time in order to have documents in the event of proceedings relating to Wis. Stat. ch. 980 Sexually Violent Person Commitments.

Contents: This record series consists of, but is not limited to, DOC-1759 Sex Offender Registration, DOC-1796 Annual Sex Offender Registration, DOC-2287 Sex Offender Registrant Information Home Visit, DOC-2705 Sex Offender Registry Update (obsolete) and correspondence for those individuals who are required to register with the Wisconsin Sex Offender Registry.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is the termination date defined as the date the sex offender is terminated from registration.

Confidentiality:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records
Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

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

00249000. SEX OFFENDER REGISTRANT FILE (DECEASED) EVT+7 DEST Y

Purpose: The reason for creation of this record series is to retain documentation of activity and actions and be able to provide evidence, in the event of the need, for confidential exchange of information with law enforcement or other agencies. This documentation is gathered during the registration period with the Division of Community Corrections (DCC) in compliance of Wis. Stat. § 301.45.

Retention Period Justification: An offender in this record series has been flagged as a "Sex Offender" by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in another state or jurisdiction, etc. This is similar to RDA 248, except the sex offender has been identified as deceased and this file will not be needed for the extended retention for proceedings relating to Wis. Stat. ch. 980 Sexually Violent Person Commitments.

Contents: This record series consists of, but is not limited to, DOC-1759 Sex Offender Registration, DOC-1796 Annual Sex Offender Registration, DOC-2287 Sex Offender Registrant Information Home Visit, DOC-2705 Sex Offender Registry Update (obsolete) and correspondence for those individuals who are required to register with the Wisconsin Sex Offender Registry.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is the date of death. Confidentiality:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records

Administrative Rules:

Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Admin Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer Wis. Stat. § 938.78 Juvenile Records Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972. 15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (date of death) + 7 years and destroy confidential

00250000. MENTAL HEALTH RECORDS FOR SEX OFFENDERS (DECEASED) EVT+7 DEST Y

Purpose: The reason for creation of this record series is to ensure delivery of and document mental health care services to sex offenders under the supervision of the Division of Community Corrections (DCC).

Retention Period Justification: An offender in this record series has been flagged as a "Sex Offender" by Sex Offender Program staff based on various factors, to include the offense statute of his/her conviction, underlying conduct was sexually motivated, conviction of sex crime in another state or jurisdiction, etc. This is similar to RDA 228, except the sex offender has been identified as deceased and this file will not be needed for the extended retention for proceedings relating to Wis. Stat. ch. 980 Sexually Violent Person Commitments.

Contents: This record series consists of individually identifiable confidential documents relating to a sex offender completed by a DCC Mental Health provider (psychologist or psychiatrist), or by a person under the direction of a mental health care provider, and filed in the official DCC Mental Health Record maintained for each sex offender under the supervision of the DCC.

The content of each file may include the following, but not limited to:

POC-0034	Notice of Privacy Practices
DOC-0223A	Psychological Report DCC
DOC-1163A	Authorization for Use and Disclosure of Protected Health Information (PHI)
DOC-1923	Limits of Confidentiality of Health Information
DOC-2601	Referral for Mental Health Services
DOC-2718	HIPAA Breach Report by Employee
DOC-3011	Fees for Copies of Health Care Records
DOC-3335	Request for Protected Health Information for Ongoing Treatment, Payment or Health Care Operations
DOC-3342	Disclosure of PHI Without Patient Authorization
DOC-3484	Request by Current Patient for Amendment/Correction of Protected Health Information (PHI)
DOC-3484A	Request by Former Patient for Amendment/Correction of Protected Health Information (PHI)
DOC-3487	Request by Current Patient for Restriction on Use/Disclosure of PHI
DOC-3487A	Request by Former Patient for Restriction on Use/Disclosure of PHI
DOC-3488	Request for Alternative Communication of PHI
DOC-3489	Request for Accounting of Disclosures of PHI
DOC-3491	Acknowledgment of Receipt of Notice of DOC Privacy Practices
DOC-3498	Informed Consent for Psychological Services Provided by Intern-Student
DOC-3669	DCC Mental Health Record - Envelope
DOC-3671	DCC Psychological Services Contact DCC Psychological Services Summary
DOC-3672	DCC Psychological Services Summary
DOC-2465	Informed Consent: Sex Offender Treatment Evaluation
DOC-2473	Sex Offender Treatment Evaluation Attitudes Questionnaire
DOC-2473S	Sex Offender Treatment Evaluation: Attitudes Questionnaire - Spanish Version
DOC-2474	Brief Sexual History Questionnaire
DOC-2474S	Brief Sexual History Questionnaire - Spanish Version
DOC-2652	Sex Offender Evaluation Report - DCC
DOC-3472	Mental Health Screening Interview
DOC-3770	Informed Consent for Psychological Evaluation

DOC-3776 Sex Offender Treatment Evaluation - Male
DOC-3776A Sex Offender Treatment Evaluation - Female
DOC-3776B Sex Offender Treatment Evaluation-Abbreviated
DOC-3776C Sex Offender Treatment Evaluation Males With Only Child Pornography Convictions
DOC-3776D Sex Offender Treatment Evaluation - Males (Adaptive)
DOC-3777 Sex Offender Program Report - Male
DOC-3777A Sex Offender Program Report - Female
DOC-3777A Sex Offender Program Report Adaptive - Males

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Retention & Disposition: Event is the date of death.

Confidentiality:

Federal Laws:
42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records

Administrative Rules:
Wis. Admin Code § 309.39(7) Inmate Phone Calls
Wis. Adm in Code § 332.17(7)(a-d) Lie Detector Disclosure of Test Information
Wis. Admin Code PAC § 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

State Statutes:
Wis. Stat. § 19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential lnformant
Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA information
Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions
Wis. Stat. § 118.125 Pupil Records
Wis. Stat. § 146.82 Health Care Records
Wis. Stat. § 146.83 Access to Patient Health Care Records
Wis. Stat. § 165.79 DNA Analysis and Data Bank
Wis. Stat. § 252 HIV Test Results
Wis. Stat. § 905.03 Lawyer-Client Privilege
Wis. Stat. § 905.09 Informant
Wis. Stat. § 905.10 Identity of Informer
Wis. Stat. § 938.78 Juvenile Records
Wis. Stat. § 950.04(1v) Rights of Victims
Wis. Stat. § 972.15 Pre-Sentence Investigation

Confidentiality of Records: Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

RETENTION: EVENT (date of death) + 7 years and destroy confidential

00320000. JUVENILE SEX OFFENDER CASE FILES EVT+60 DEST Y

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

These records are of OJC youth required to register with the Wisconsin Sex Offender Registry, or are non-registered/non-Chapter 980 sex offenders. The files may contain, but are not limited to, the following: dispositional order or judgment of conviction, assessments, disciplinary proceedings, treatment
plans, case notes from service providers, sex offender registration forms, travel permits, Wis. Stat. § 980 packets and copies of police reports.

The Facility's Information Processing Center (IPC) creates and maintains the youth's standardized file when the youth enters the facility. When the youth is released to community supervision and the youth case is received by the Field, Field staff creates a supervision case file, per the same case manual guidelines. The Office of Juvenile Offender Review (OJOR) at DJC-Central Office also maintains a file that includes the original Wis. Stat. § 980 packet. These records are in addition to the Psychological Services Unit (PSU) treatment file covered by Bureau of Health Services RDA-160 or RDA-185 or RDA- 185A.

Forms included, but are not limited to: DOC-1701 Face Sheet DJC
JD Dispositional Order or Judgment of Conviction Court Petition
DOC-1723 Request for Extension DOC-1940 DNA Form
DOC-1759/DOC· 1759A Sex Offender Registration DOC-1933 Assessment & Evaluation Report (AER) DOC-1941 Progress Summary
COMPAS Case Plan Updates DOC-1722A Department Orders,
DOC-342 Notice of Disciplinary Hearing Rights and Waiver of Hearing Waiver of Time DOC-346 Major Disciplinary Hearing Reasons for Disclosure and Evidence Relied On DOC-1842 Notice of Placement in Pre-Hearing Security!
DOC-1843 & DOC-1843A Conduct Report.

Retention Justification: These records are created in the course of supervising and treating a youth identified as a sex offender. The documents provide evidence of a youth's compliance, or non-compliance, with treatment while in the correctional facility or on supervision within the community and his/her adjustment to confinement or to release. The records are retained in the event of a need for confidential exchange of information with law enforcement or other agencies at a later date during the youth's registration period, which can be up to 60 years, or for the youth's lifetime. The non-registered/non-Wis. Stat. § 980 sex offender case files are retained for reference if the youth commits another sex offense at some future date beyond the 7-year retention period of a non-sex offender case.

RETENTION: EVENT (Closed is when the 'T' number is issued. Active and inactive files are alphabetical, closed files are numerical by 'T' number.) + 60 years and destroy confidential

00347000. **SPRITE PARTICIPANT CARD CATALOG** **CR+7** **DEST** **Y**

Purpose: This record series identifies the retention period and disposition for Support, Perseverance, Respect, Initiative, Teamwork, Education (SPRITE) Participant Card Catalog records. These records were created by the Department of Corrections since 1996 as a way to track juvenile participants in the SPRITE program. There are prior records in this set from the Department of Health Services that date from 1978 - 1996.

Content: This card catalog contains a 3 x 5 file card for every juvenile that has participated in the SPRITE program. Information on the file card includes: name, J-number, institution, home address, phone number, birth date, race, county agent, and committing offense. These cards are filed alphabetically for quick reference.

Retention & Disposition: This RDA was previously considered a permanent record as they may be used for research purposes. It has been determined that these records are not utilized for research. The record was reviewed and it was determined that this record does not need to be retained longer than 7 years from creation. This amendment is submitted to. both close the record and lower the retention. The SPRITE Program ceased June 2011. These records have not been created since the close of the program.

CONFIDENTIAL:
State Statutes:
Wis. Stat. § 938.78 Juvenile Records

RETENTION: EVENT(Creation) + 7 years and destroy confidential

Dept # **/650/** Department Name **JUVENILE INSTITUTIONS CENTRAL OFFICE**

RDA # RDA Title Retention Disposition PII

00319000. **RECORDS OF NON-DJC YOUTH IN JCF** **EVT+7** **DEST** **Y**

Lifecycle Language: The official record in this series may be transferred to, or maintained in, electron!c/digital fonnat for the full retention period. To comply with Wls. 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 these lrhages is acceptable. Upon verlficatloh of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Records are retained in order to respond 10 questions about when a part!cular Countysupervised youth was placed in a Juvenile Crrections Facility
·. (.!Cf.); the purpose cf.the placemer.t, .lhe youth's treatment and.behavlor during p!Jcetncnt, ond the circumstances of the youth's "release, Secure detentfon services are offered to Wisconsin counties in the northern part of the state, but a County must have a.signed contract with the JCF to utilize its secure detention program.

These records are maintained per WI Statutes and are required tor documenting offender adjustment to supervision and the legal aspects affecting the duration of supervision. They are necessary for quality assurance o.ctivitle£i and response to the Dep3rtrnenl'e need. Per Wia. Stat. §§ 938.205, t;)c.:oa, ·
938.21, 938.34, 938.355, and 938.534, the Dep'artment has the authority and duty to protect, train, disc!pllne, treat and confine a child who is placed In a secured correctional facllity.

Individual-specific flies contairi records related to a County-supervised youth's Type 2 County detention or sanction, which is a temporary placement In a secured JCF. The Department records include, but not limited to, a youth's status at admission (heallh screening, violation report, intake forms), his/her conduct whlle in the facility, and the circumstances of the youth's release. County

records include, but are not limited to, Request for Temporary Physical Custody, Caseworker Custody Hold Pending Investigation, Sanction Order, Dispositional Order or WarranUCapias/Court Order authorizing a hold in secure detention, and/or a Medical Consent fonn.
Forms that are included, but are not limited to: DOC-3387 Health Screening Questionnaire
DOC-34728 Mental Health Screening Interview DJC
DOC-2887 Detention Admission Report DOC-2686 Youth Information Intake
DOC-3018 Intake Screening Medical History
DOC-3734 Intake Screening Medical Mental Health Suicide DOC-3002A lntake!Transfer/Receiving Sqreenlng

This record series Is confidential per Wis. Stat. § 938.78 and Wis. Admin. Code ch. § 118.125.

Records do not include documents related to youth committed by a court 1o the Department of Corrections for secure correctfonal facility placemen!, which are covered by other RDAs.

A case is inactive If the youth is not in the institution nor a Type II facility nor under supervision. The T-number is assigned when the case has been Inactive for a month. Once the T-number is assigned, then the case is closed. Jf a youth returns, it's considered a new case, a new file is created and the new file receives a new T-number when that case closes.

RETENTION: EVENT (Closed) + 7 years and destroy confidential

00342A00. ICJ - REFERRAL PACKETS & REQUISITIONS EVT+5 DEST Y

The Interstate Compact for Juveniles (ICJ) is the law that regulates the movement of juveniles who are under court supervision or have run away to another state. The ICJ is a contract that has been adopted as law throughout the United States - by all SO states and 2 territories. DJC keeps a record of juveniles on runaway, escapee or absconder status to and from other states and on transfer to and from other states for supervision per this contract.

Records include referral packets from other states for juvenile probationers and parolees who are being transferred to Wisconsin or are having supervision transferred from Wisconsin to another state. The referral packets include, but are not limited to, ICJ Form IV--ICJ Parole or Probation Investigation Request, ICJ Form IA-VI--ICJ Application for Services and Waiver, cover letter, social and legal history, signed court orders, petition(s) related to adjudication(s), rules and conditions of supervision (parole), school information (grades, attendance, progress reports, etc.), arrest reports, medical or psychological information, and other supplemental records. Documents may include, but are not limited to, ICJ Form Ill-Consent for Voluntary Return of Out of State Juvenile, ICJ Form IX-Quarterly Progress Violation/Absconder Report, ICJ Form VIII-Home Evaluation Report, ICJ Form VII--Out of State Travel Permit. When Wisconsin is the receiving state, the DOC-1941 Progress Summary must be completed. Records also include requisitions - a written demand to return a youth. The requisition includes, but is not limited to, court orders, ICJ Form 11---Requisition for Escapee or Absconder or Accused Delinquent, adjudication/disposition order, and the rules of supervision. One copy of the requisition is filed with the Compact Administrator of the demanding state, subject to the provisions of law governing records of the court.

This record series is confidential per Wis. Stat. § 938. 78. Closed is defined as reaching inactive date or maximum discharge date as determined by sentencing court and ICJ Form X-- ICJ Case Closure Notification is filed.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

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

00342B00. ICJ - ANNUAL REPORTS AND OUTPUT REPORTS EVT+10 SHSW Y

The Interstate Compact for Juveniles (ICJ) is the law that regulates the movement of juveniles who are under court supervision or have run away to another state. The ICJ is a contract that has been adopted as law throughout the United States - by all 50 states and 2 territories. The ICJ database keeps a record of juveniles on transfer to and from other states and on runaway, escapee or absconder status to and from other states. The annual report produced is used to report the number of runaways, escapees and absconders within a given period of time. This record series includes, but is not limited to, the 3-page annual reports to the Association of Juvenile Compact Administrators.

This record series is confidential per Wis. Stat.§ 938.78.

Closed is defined as reaching inactive date or maximum discharge date as determined by sentencing court and ICJ Form X-- ICJ Case Closure Notification is filed.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Closed) + 10 years and transfer to State Historical Society

00354000. FOSTER GRANDPARENT PROGRAM PERSONNEL RECORDS EVT+8 DEST Y

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

A facility personnel record is maintained on each foster grandparent volunteer who participates in the program. Information in this record may include, but is not limited to: name, address, social security number, physician contact, pertinent medical information, emergency contact person, beneficiary, service dates, annual income evaluation, volunteer hours, mileage records, and volunteer meals. Records may also include documentation of stipends paid. Also, each FGP volunteer is required to submit a yearly verification that he/she has been approved for participation by his/her physician that the facility keeps in the volunteer's personnel file.

Forms in the file include, but are not limited to, FGP application, beneficiary form, assignment schedule & care plan, emergency information, income review, performance evaluation, consent of group photos, military service, driver authorization, personal auto information, van pool rider agreement, DOA- 6456 Direct Deposit, IRS-W-9, DOA-6460 New Supplier, DOC-3190 TB Screen, DOC-1267 Visitor Notification, DOC-1124J Volunteer Application/Approval, DOC-1122J Volunteer Agreement, DOC-2430 Criminal Background Check (GIB), OOC-2554 Visitor Confidentiality Agreement.

Closed is defined as when the FGP volunteer leaves the program or if the program is ended/suspended/transferred to another site.
Confidential:
Per Federal Laws:
45 C.F.R. § Part 160 Privacy of Health Information 45 C.F.R. § Part 164 Protected Health Care Records 45 U.S.C. § Part 290 Confidentiality of Records

Per State of WI Statutes:
Wis. Stat.§ 19.35(1)(am) Safety and Security
Wis. Staf.§ 146.82 Health Care Records
Wis. Stat.§ 146.83 Access to Patient Health Care Records

RETENTION: EVENT (Closed: program ends / volunteer leaves) + 8 years and destroy confidential

00359000. JUVENILES WITH ADULT CORRECTIONAL STATUS CASE FILES **EVT+7** **DEST** **Y**

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

A juvenile age 17 or younger is sentenced by the adult criminal court under a Judgment of Conviction (JOC) and due to his/her age, is placed in a juvenile correctional facility to begin serving his/her sentence. At a later date, the youth is transferred to an adult institution to serve the rest of his/her sentence. The case file is not assigned a T-Number when the youth leaves the Juvenile Corrections Facility (JCF), because no juvenile supervision is terminated and the adult case termination may be many years in the future. The Division of Adult Institutions (DAI) requests copies of the progress summaries and other reports from the Department of Juvenile Corrections (DJC) social services files be sent to DAI for the adult case files.

These records are maintained per WI Statutes and are required for documenting offender adjustment/progress through various programs including supervision, treatment and education, and the legal aspects affecting the duration of supervision, necessary for quality assurance activities and response to the Department"s need. Per Wis. Stat. §§ 938.34(4m), 938.357(3),(4).(5)(e), 938.366, and 938.505. the Department has the authority and duty to protect. train, discipline, treat and confine a child who is placed in a secured correctional facility.

Per Division of Adult Institutions (DAI) policy 302.00.20, adjudicated juveniles under the age of 18 are not housed in adult correctional facilities.

These records contain, but are not limited to, chronological summary, face sheet, Department Order, admission evaluation, staff recommendations, social worker reports, youth counselor reports, inventory of personal property, progress summary, general correspondence, social investigation summary, case history review, admission investigation, court orders, conduct reports, and discipline reports.
Forms that are included, but are not limited to: DOC-1701 Face Sheet,
DOC-1722 and/or DOC-1722A Department Order,
DOC-1933 Assessment & Evaluation Report (AER) (social worker report), DOC-1935 Current Status Report (social worker report),
DOC-0903 inventory of personal property, DOC-1941 progress summary,
DOC-1843 and/or DOC-1843A Conduct Report-DJC

This record series is confidential per Wis. Stat. § 938.78 and Wis. Admin. Code ch. 118.125. NOTE: Closed is when the youth is transferred to the adult correctional system.

RETENTION: EVENT (closed or transferred) + 7 years and destroy confidential

00379000. AGENT AND STAFF ASSIGNMENTS **EVT+10** **DEST** **Y**

Includes records indicating various staff assignments, such as the assignment of a social worker, field agent, Office of Juvenile Offender Review (OJOR) reviewer, designated office operations assistant, youth counselor or any other staff position specifically

assigned to a youth, including non-DOC staff such as a county social worker. Agent assignments are deactivated via the "Termination of Supervision" when the need for an agent ends. Reports available include the Staff Assignment Report and Active Clients Report.

Records include, but are not limited to, institution name, staff person name, user identification (ID), agent reassignments, assignment date and end of assignment date (known as the expiry date) as well as offender name, Department of Corrections (DOC) number, birth date, community placement, and case status.

Confidential per Wis. Stat. § 938.78.

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 these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (agent assignment deactivated) + 10 years and destroy confidential

PUBSC480. HIGH SCHOOL TRANSCRIPTS AND DEGREES / AWARDS P PERM Y

Official high school transcripts and listings of any other degrees/awards received while in high school.

RETENTION: PERMANENET