

435-HEALTH SERVICES

| RDA # | RDA Title | Retention | Disposition | PII |
|-------------------------|--|----------------------|--------------------|-----------------|
| <u>00256A00.</u> | <u>MANAGED CARE PROGRAM REPORTS / HMO PROVIDER CORRESPONDENC</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Pursuant to Wis. Stat. § 49.45, the Managed Care Program generate reports from HMO providers regarding Medicaid and BadgerCare Plus members' personal health information for program evaluation, dispute resolution, system monitoring, federal reporting, capitation of payments made to the HMOs and notification to the I-IMOs of their membership; and to document and follow up on the adjudication of contract disputes, research proposals, speeches and policy statements; and answer informational requests.</p> | | | |
| | <p>Records include all correspondence regarding members or informational paperwork with PHI (personal health information), grievance, appeals, lock-ins (managed care), correspondence, reports, or any other materials specific to a member in an HMO; letters to and from Medicaid and BadgerCare Plus HMO providers (may include member PHI), legislators, government agencies, other states, informational material on HMO enrollment and internal memos, meeting minutes and papers.</p> | | | |
| | <p>Relevant Confidential Authority: 45 C.F.R. 164.502(a).</p> | | | |
| | <p>RETENTION: EVENT (Date of final report) + 7 years and destroy confidential</p> | | | |
| <u>00297000.</u> | <u>CLIENT FILES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: To record treatment and interactions with clients in a program.</p> | | | |
| | <p>Content: Client files consist of a variety of documents depending on the program ; including, but not limited to, administrative hearing requests and decisions, correspondence, complaints and program response or outcome, enrollment documentation, applications for services, service plans and counseling sessions.</p> | | | |
| | <p>List of programs includes, but is not limited to:</p> | | | |
| | <ol style="list-style-type: none"> 1. Community Integration Program (CIP) 2. Work incentive benefits counseling 3. Social security disability insurance 4. Disability benefits 5. Health and employment counseling 6. Office for the Blind and Visually Impaired | | | |
| | <p>Records series contains confidential content per the Health Insurance Portability and Accountability Act of 1996.</p> | | | |
| | <p>RETENTION: EVENT (Client no longer receiving services) + 7 years and destroy confidential</p> | | | |
| <u>00391000.</u> | <u>FORWARDHEALTH PROVIDER PRIOR AUTHORIZATION REQUESTS FOR MEM</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: Wis. Admin. Code ch. DHS 101.03: "Prior Authorization" means the written authorization issued by the department to a provider prior to the provision of a service. Note: Some services are covered only if they are authorized by the department before they are provided. Some otherwise covered services must be prior authorized after certain thresholds have been reached.</p> | | | |
| | <p>Contents: ForwardHealth (including Medicaid, BadgerCare Plus, SeniorCare) Member requests for Prior Authorization benefits including complaints; correspondence with county agencies, providers, vendors and the Office of Administrative Hearings.</p> | | | |
| | <p>Closed: After all issues related to the Prior Authorization have been finalized. Finalized means one or more of the following actions has been completed "approved, approved with modifications, denied, amended, or becomes inactive."</p> | | | |
| | <p>RETENTION: EVENT (Closed) + 7 years and destroy confidential</p> | | | |
| <u>00393000.</u> | <u>MEMBER APPEALS FOR FAIR HEARINGS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: Per WI Admin. Code DHS 104.01(5) (MA), 104.01(12)(c) (Prior Authorization) and 109.63 (SeniorCare), the member or participant is allowed a fair hearing to appeal department action that result in the denial of a claim or prior authorization.</p> | | | |
| | <p>Content: Member case files consisting of requests from Medicaid, BadgerCare Plus and SeniorCare members for a fair hearing related to denials of prior authorizations or payment for services, including correspondence with the Division of Hearings and Appeals, members, providers, county agencies, vendors, research records including eligibility, prior authorization and claim status information from MMIS (Medicaid Management Information System), provider handbooks, member handbooks, ForwardHealth updates, email or memos to gather specifics related to the prior authorization or claim appeal.</p> | | | |
| | <p>RETENTION: EVENT (The date that a decision has been made by DHA and/or other litigation issues are resolved) + 7 years and destroy confidential</p> | | | |
| <u>00485000.</u> | <u>SCHOOL TRANSCRIPTS / DIPLOMAS / HSED</u> | <u>EVT+75</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: To record completion of courses and/or programs.</p> | | | |

Content: School transcripts--identify courses and grades prior to and during time spent at a DHS facility. Copies can be sent to other institutions upon request. Diplomas are awarded upon successfully completing the education program; HSED or GED certificates are awarded when the high school equivalency program is successfully completed.

Diplomas and HSED certificates will only be in this record series if not claimed by the pupil.

The confidentiality of pupil records is covered under FERPA (Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g; 34 CFR Part 99) and Wis. Stat. § 118.125(2)

RETENTION: EVENT (Date program completed or pupil leaves) + 75 years and destroy confidential

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| <u>00595000.</u> | <u>NF, SNF, AND FDD/ICF-IID - ENFORCEMENT</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: This record series consists of records that have been created and collected for the purpose of state and federal enforcement of health care regulations in DQA-regulated nursing facilities (NFs), skilled nursing facilities (SNFs), and facilities serving people with developmental disabilities (FDDs) | intermediate care facilities for individuals with intellectual disabilities (ICF-IIDs) per 42 CFR for Medicare and Medicare/Medicaid dually funded providers, Wis. Stat. chs. 50 and 51, and Wis. Admin. Code chs. DRS 132 and 134.

Content: Facility enforcement folders contain records created and collected for health surveys, complaint investigations, and health care construction surveys and include, but are not limited to: confidential financial, personally identifying, and personal health information; waivers/variances; correspondence; complaints; facility self-reports; photographs; federal and state health care and life safety code inspection and complaint investigation reports; client/resident medical records; surveyor notes; forfeiture assessments; provider plans of correction; enforcement correspondence and penalty determinations; litigation records; state monitoring and receivership records; provider staff schedules, background checks, training materials, internal investigations, interviews, and personnel records; client interviews; legal documents; state monitoring and receivership records; other agency reports; other health care facility records (e.g., hospital records).

Maintenance/Retention: Enforcement records are maintained chronologically by year in paper folders and, within each year, by date of survey/investigation completion. Upon completion of the survey/investigation, enforcement-related records are maintained for three years within the DQA Central Records Center. They are then sent to the State Records Center per DQA procedure and destroyed at the end of the seven-year retention period.

Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; IRS Internal Revenue Code § 6103(d)(l); 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo 11-39; Wis. Stat. § 19.36(13).

RETENTION: EVENT (End of year of survey completion) + 7 years and destroy confidential

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| <u>00621000.</u> | <u>CLIENT MOVEMENT / CENSUS RECORD</u> | <u>CR+7</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: Record is created to track client movements for billing and security purposes; to provide output reports to account for client populations of facility units; for the development of client and third party billing for care, administrative capacity reports, etc. Records are also used to update facility staff on current unit populations. Reports are generated on a daily, monthly and year-end basis.

These records do not include DLTC/DMHSAS Client Service Billing Records covered under RDA 16.

Content: Computer record of client movements by unit and sex. Information is compiled from Client Movement Reports and Census reports submitted by units within the facility which identify movement within the facility, absences from the facility which include home visits, court appearances, hospital visits, etc.

Input Documents are covered under RDA 828.
Output Documents are covered under ADM00027.

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

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| <u>00626000.</u> | <u>MEDICARE BENEFITS EXPLANATION</u> | <u>CR+0/6</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To be able to check the status of accounts.

Content: This is a monthly statement received at the institution from WPS Medicare Part B, for each client for whom a Medicare payment was completed.

Note: Six months is the period of time allowed for filing a claim review.

Records series contains content that is confidential per Wis. Stat. § 51.30.

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

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| <u>00676000.</u> | <u>CLIENT / PATIENT ACCOUNTS</u> | <u>CR+6</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: This record series covers accounting records for client funds. The accounting records form an audit trail to document the

deposits and expenditures, in addition to being part of a system which provides a business process for transactions.

Content: These records may include, but are not limited to:

1. Ledger/Biennial Annual Account Statement
2. Canteen Journal
3. Fiscal Bureau Journal
4. Deposit Documents
5. Income Postings
- 6.. Trail Balances
7. Disbursement Requests
8. Purchase Orders
9. Paid Invoices
10. Receipts
11. Canceled Checks
12. General Ledger Accounts
13. Batch Transaction Registers: disbursements, interest, journal entries, work activity, income, receipts

Exclusions: Case Register Tapes, Check Registers, and Batch Run Printouts

Records contain content that is confidential per Wis. Stat. § 51.30(4)a. and Wis. Admin. Code § DHS 1.06.

RETENTION: Creation + 6 years and destroy confidential

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| <u>00683A00.</u> | <u>CASE RECORDS - MENTAL HEALTH INSTITUTES</u> | <u>EVT+25</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To provide documentation for the care and treatment of the individual.

Content: Case records are those files containing the primary administrative, legal, and clinical records directly related to the events in the admission, treatment, care, and termination of an individual's stay during any one period of care and treatment.

A case record will be purged within 25 years, but no earlier than eight years after patient discharge or death:

1. The record Face Sheet will be retained under RDA 000683B (permanently).
2. The following three sections will be retained as a new record series, Case Files - Core Treatment, RDA 00683C (total retention is 50 years): Discharge Summary, Psychological Data/Testing or Initial Assessment, Social Service History. Physician orders and monthly summaries of daily data for cases closed prior to 1985 may also be a core treatment record.
3. Historically significant cases can be identified by the facility's Medical Record Committee and are covered by RDA 00683H.

Records series contains content that is confidential per Wis. Stat. § 51.30.

RETENTION: EVENT (Patient discharge or death) + 25 years and destroy confidential

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| <u>00683B00.</u> | <u>CASE RECORD FACE SHEET OR EQUIVALENT</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
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Purpose: To maintain a permanent record of all clients/patients/inmates admitted to DHS facilities. It records basic demographic information.

Content: The patient/client face sheet records, at minimum:

- Name of individual
- Date admitted
- Date discharged
- Physician's name
- Diagnosis

Other information to be recorded includes:

- Birth date
- Marital status
- Birth place
- Social security number
- Sex
- Race
- Reason for admission/referral
- Height
- Type of admission
- Hair and eye coloring
- Legal status
- Citizenship
- Language spoken
- Religious preference
- Sources of support

Records series contains confidential content per Wis. Stat. § 51.30.

RETENTION: Permanent

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| <u>00683C00.</u> | <u>CASE RECORDS - MENTAL HEALTH INSTITUTES, CORE TREATMENT</u> | <u>EVT+25</u> | <u>SHSW</u> | <u>Y</u> |
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Purpose: To preserve core documentation of the care and treatment for a longer period of time so that it is available for the counseling of families, adoption search, and patient care.

Content: Case records are those files containing the primary administrative, legal, and clinical records directly related to the events in the admission, treatment, care, and termination of an individual's stay during any one period of care and treatment.

It was determined that core treatment clinical record is:

1. General demographics
2. Discharge summary
3. Psychological data/testing or initial assessment
4. Social services history
5. Physician orders and monthly summaries of daily data for cases closed prior to 1985 may also be a core treatment record.

Note: Retention of the complete case record is covered by RDA 683A for 25 years; these core records are retained for another 25 years under this RDA, for a total of 50 years.

Records series contains confidential content per Wis. Stat. § 51.30.

RETENTION: EVENT (Patient discharge or death) + 25 years and transfer to State Archives (WHS)

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| <u>00683D00.</u> | <u>CASE RECORDS - INTELLECTUALLY DISABLED ADULTS</u> | <u>EVT+8</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To provide documentation for the care and treatment of the individual.

Content: Case records are those files containing the primary administrative , legal, and clinical records directly related to the events in the admission, treatment, care, and termination of an individual's stay during any one period of care and treatment.

This record includes, but is not limited to: pre-admission reports and exams, multidisciplinary data, treatment plans, conference summaries, progress notes, flow sheets, medication reports, immunization/laboratory /radiology reports, incident and seclusion reports, height/weight and TPR (temperature, pulse, respiration) charts, death certificate; and ancillary service reports such as therapy, psychological , dental, social services, and outpatient.

Definition: The record must be completed in accordance with Medicaid and Wis. Admin . Code ch. DHS 134.

At the time of disposition, for all cases where the individual was born or raised at Northern Wisconsin Center, transferred from Sparta, was under guardianship of DHS at one time, was adopted or relative(s) adopted, or parental rights were terminated, the following documents will be transferred to Adoption Search for the expressed purpose of assisting adoption research to meet statutory requirements: Face Sheet, annual physical exams, pre-admission social summary, psychological examination, medical and genetic history, discharge summary.

Records series contains confidential content per Wis. Stat. § 51.30(4) and Wis. Admin. Code ch. DHS 92.

RETENTION: EVENT (Client discharge, transfer, or death) + 8 years and destroy confidential

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| <u>00683H00.</u> | <u>CASE RECORDS - HISTORICAL</u> | <u>EVT+50</u> | <u>SHSW</u> | <u>Y</u> |
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Purpose: The purpose is to preserve records that are determined to be historical by the Medical Records Committee of each facility. This is an optional function but it is envisioned that the committees will each accept approximately five inactive case records each year for preservation.

Any staff member can nominate a case during the active or inactive period for inclusion in the historical records of the facility. The Medical Records Committee will make the final selection and may purge the record. This final selection will be made at the time when inactive cases are scheduled for disposition. See RDAs 683C and 683D.

Content: Nominated cases need to be cases of historical value; cases recording an event, treatment or situation which will be helpful or interesting for medical, administrative or social research. The contents of the file will be determined by the Medical Records Committee.

Note: It is important to maintain this RDA because it provides a history that all facilities were provided the opportunity to preserve historical records. There is also the possibility that one of the facilities may, in the future, want to preserve historical records. This RDA will assist them to accomplish this task.

Records series contains confidential content per Wis. Stat. § 51.30.

RETENTION: EVENT (Closed/terminated/deceased) + 50 years and transfer to State Archives (WHS)

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| <u>00683J00.</u> | <u>CASE RECORDS - INTELLECTUALLY DISABLED MINORS</u> | <u>EVT+8</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To provide documentation for the care and treatment of the individual.

Content: Case records are those files containing the primary administrative, legal, and clinical records directly related to the events in the admission, treatment, care, and termination of an individual 's stay during any one period of care and treatment.

This record includes, but is not limited to: pre-admission reports and exams, multidisciplinary data, treatment plans, conference summaries, progress notes, flow sheets, medication reports, immunization/ laboratory/radiology reports, incident and seclusion reports, height and weight and TPR (temperature, pulse, respiration) charts, death certificate; and ancillary service reports such as therapy, psychological, dental, social services, and outpatient.

Definition: The records of a deceased minor are closed at the time of event. The records of a discharged or transferred minor are considered closed when the individual reaches age 20. The record must be completed in accordance with Medicaid and Wis. Admin. Code ch. DHS 134.

At the time of disposition, for all cases where the individual was born or raised at Northern Wisconsin Center, transferred from Sparta, was under guardianship of DHS at one time, was adopted or relative(s) adopted, or parental rights were terminated, the following documents will be transferred to Adoption Search for the expressed purpose of assisting adoption research to meet statutory requirements : Face Sheet, annual physical exams, pre-admission social summary, psychological examination, medical and genetic history, discharge summary.

RDA is created at the request of the Public Records Board to separate records of minors from those of adults (00683D).

Records series contains confidential content per Wis. Stat. §§ 51.30(4) and (5) and Wis. Admin. Code §§ 134.47(3)(d), 92.03, and 92.06.

RETENTION: EVENT (Closed) + 8 years and destroy confidential

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| 00978000. | MEDICATION ERROR REPORTS | EVT+5 | DEST | Y |
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Purpose: To track trends and patterns; to report the facts (who, what, where, why) to meet documentation requirements; to allow the physician to make any subsequent therapeutic decisions necessary; identify points in medication administration where errors are occurring so that teaching, counseling, and/or reinforcement of procedures may be provided to prevent further incidents.

Some facilities have a paper process and others have an electronic process.

The medication error is also noted in the patient's chart, which is covered by RDAs 435-00683A and 00683D.

Content: The data fields on the Medication Error Report (forms F-20416A, F-20416B, F-20416C, or equivalent) include, but are not limited to: name of client, name of medication and dose, cited error reason, error type, person involved, medication route, description of incident, time elapsed before error discovered, physician rating, and plan of action.

The content of these records is confidential health information protected by Wisconsin and federal laws including Wis. Stat. §§ 51.30 and 146.82, and 45 CFR Parts 160 and 164.

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

Dept #: 102/ Department Name: DPH - ENVIRONMENTAL & OCCUPATIONAL HEALTH

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| 00106500. | HAZARDOUS SUBSTANCES EMERGENCY EVENTS SURVEILLANCE (HSEES) | EVT+20 | DEST | Y |
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Program Purpose: To track and analyze adverse health effects (victims, symptoms, evacuations) which often occur following the uncontrolled release of hazardous chemicals; and to design and implement outreach strategies to reduce the number of incidents and corresponding number of victims resulting from exposures to those hazardous substances. (Pursuant to SS. 250)

Program History: Since 1993 this WI HSEES surveillance system has been the only tracking system in the state that has focused on the adverse public health outcomes (victims, symptoms, evacuations) often associated with hazmat releases. The System also identifies chemical names, quantities released, geo coded spill locations, and demographic information, and records the data in a web-deployed, secure, electronic data collection system.

Archival Contents and Justification: Hard copy contents are primarily made up of substance release notification forms from multiple agencies including DNR; DATCP; WEM; DCI-Narcotics Bureau; National Response Center (NRC); US Dept. of Transportation (USDOT); and local fire and other documentation that cannot be made part of the electronic reporting system. Anticipate that data entry of existing records will be completed by 2012. Elimination of these files would seriously hinder any complete analysis of the data since not all relevant information is available electronically, especially subsets of certain industrial categories, information about treating hospitals and emergency responders, and other information that will provide perspective and context.

Disposition Request: Retain all documents for 20 years after all information is entered electronically, or until January 1, 2032 (approximately 20 years).

| RDA # | RDA Title | Retention | Disposition | PII |
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RETENTION: EVENT (All information is entered electronically) + 20 years and destroy confidential

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| <u>00235000.</u> | <u>RADIOLOGICAL EMERGENCY PREPAREDNESS/RESPONSE</u> | <u>CR+5</u> | <u>SHSW</u> | <u>N</u> |
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PURPOSE: Development of plans, procedures, exercise scenarios and training to ensure the state is prepared to respond to a nuclear plant or other type of radiological incident.

CONTENT: Correspondence, data, reports, reference materials, etc., regarding radiological emergency response in Wisconsin. Includes information regarding State Peacetime Radiological Emergency Response Plan, nuclear power plants, transportation of radioactive materials, training of emergency response personnel, etc.

RETENTION: EVENT (Creation) + 5 years and transfer to State Archives (WHS)

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| <u>00236000.</u> | <u>RADIOLOGICAL ENVIRONMENTAL MONITORING</u> | <u>CR+5</u> | <u>DEST</u> | <u>N</u> |
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PURPOSE: Environmental radiation monitoring of commercial nuclear power plants as required by s. 254.11 Stats.

CONTENT: Environmental monitoring studies around commercial nuclear power plants and correspondence including data sheets, reports, correspondence and related materials for nuclear power plants in Wisconsin and those out-of-state affecting the citizens of Wisconsin. Also, includes reports of analyses of milk samples from Wisconsin milk sampling locations including laboratory results of analyses of milk samples; news releases and general correspondence.

RETENTION: EVENT (Creation) + 5 years and destroy

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| <u>00237000.</u> | <u>U.S. NUCLEAR REGULATORY COMMISSION AND DHS LICENSES-IN-STATE</u> | <u>EVT</u> | <u>DEST</u> | <u>Y</u> |
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PURPOSE: Licensing and inspection of facilities using radioactive materials in Wisconsin. Regulatory authority over radioactive materials (excluding nuclear reactors and federal facilities) transferred from the Nuclear Regulatory Commission to the state under formal agreement in 2003.

CONTENT: Copies of licenses issued by the U.S. Nuclear Regulatory Commission or the Department of Health Services to medical facilities, industries and educational institutions to use radioactive materials in Wisconsin, inspection reports of licenses facilities.

RETENTION: EVENT (Superseded) and destroy confidential

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| <u>00238000.</u> | <u>RADIATION INSTALLATION REGISTRATIONS</u> | <u>EVT+10</u> | <u>DEST</u> | <u>N</u> |
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PURPOSE: Registration and inspection of radiation producing machines.

CONTENT: Applications for registration of all sources of machine produced ionizing radiation not regulated by the US Nuclear Regulatory Commission and administered by the Division of Public Health under s. 254.34, Stats.; reports of inspection surveys of each registered source; and related materials.

Closed - Out-of-business due to retirement, death, selling to another party, etc.

RETENTION: EVENT (Closed) + 10 years and destroy

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| <u>00244000.</u> | <u>SURVEYS OF MEDICAL X-RAY INSTALLATIONS</u> | <u>EVT+3</u> | <u>DEST</u> | <u>N</u> |
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PURPOSE: State Statute 254.34(1)(c) states:
The Department . . . shall . . . Develop comprehensive policies and programs for the evaluation, determination and reduction of hazards associated with the use of radiation.

CONTENT: The department shall maintain all of the following reports: files of all registrants under 2. 254.35 and any related administration or judicial action. Surveyors' written report of medical x-ray inspections.

RETENTION: EVENT (Superseded) + 3 years and destroy

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| <u>00245000.</u> | <u>ASBESTOS MANAGEMENT PLANS</u> | <u>CR+50</u> | <u>DEST</u> | <u>N</u> |
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Purpose: In accordance with S. 254 and Federal Register 40 CFR Part 763, Subpart E (Asbestos-Containing Materials in Schools), the state retains original asbestos management plans of new school districts, merged school districts, new school buildings, private non-profit schools, and charter schools. The asbestos management plans provide confirmation of inspection for the presence or absence of asbestos in the school's buildings. The plans can also assist in documentation of latency periods for asbestos exposure and may also provide historical data for the school district. Retaining these plans provides the Asbestos and Lead Section and these school districts with a copy of their asbestos management plans when the local education agency copy cannot be accessed.

Contents: Contains original management plans.

Retention: The long retention period is needed to substantiate potential latency periods for asbestos exposure and regulation compliance.

| RDA # | RDA Title | Retention | Disposition | PII |
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RETENTION: EVENT (Creation) + 50 years and destroy

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| <u>00280A00.</u> | <u>TRAINING AND EVALUATION OF FOOD SAFETY AND RECREATIONAL LICEN</u> | <u>CR+3</u> | <u>DEST</u> | <u>N</u> |
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PURPOSE: Enforcement of sanitation standards is required in accordance with Chapter 254, Sub Chapter IV through VII and 252 Wisconsin Statutes. Sanitarians receive training and annual evaluation of performance in carrying out the enforcement requirements for establishments. Establishments include restaurants, hotels, motels, swimming pools, campgrounds, recreational camps, vending machines and vending machine commissaries, tourist rooming houses, bed and breakfast establishments and tattoo and body piercing.

CONTENT: Includes, but is not limited to, self assessments, evaluations and surveys of sanitarian's performance, in carrying out the enforcement activities within the state. Series may contain correspondence related to evaluation and inspections.

RETENTION: EVENT (Creation) + 3 years and destroy

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| <u>01022000.</u> | <u>HAZARDOUS EVENT SURVEILLANCE DATA</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
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PURPOSE: Surveillance to prevent accidental exposure to toxic substances.

CONTENT: Demographics (age, birth date ,gender, race); case characteristics (type of toxic exposure, time of episode, number exposed, health outcomes of those exposed).

INPUT: Surveillance report form. Documents are destroyed after entered into data system, per RDA 435-00828.

OUTPUT: Annual progress report--statistical summary (without case level identifiers); periodic publications in summary statistical form.

RETENTION: EVENT (After data is entered into database) + 5 years and destroy confidential

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| <u>01023000.</u> | <u>X-RAY AND TANNING REGISTRATION AND FACILITIES DATA</u> | <u>EVT+5</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: Registration of Radiation sources and devices, responsible person, and any inspection information.

Contents: Application for Registration of Ionizing Radiation, F-47097, and Application for Registration of a Tanning Device F-47337. Data collected includes but is not limited to: name, Social Security Number or Federal Employee Identification Number, equipment, address, dates, contact person, as part of the approval process of the registration, and noncompliances, per Wis. Stat. ss 250.041(1).

Confidentiality: Under Wis. Stat. ss 250.041(2) Department of Health Services may not disclose any information received to any person except the Department of Children and Families for the purpose of making certifications required under Wis. stat. ss 49.857.

Closed means out of business due to retirement, death, selling to another party, etc.

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

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| <u>01024000.</u> | <u>ADULT BLOOD LEAD EPIDEMIOLOGY AND SURVEILLANCE (ABLES)</u> | <u>EVT+50</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|---------------|-------------|----------|

Purpose: Surveillance for the prevention and the condition of adult exposure/poisoning.

Contents: This record series will cover all lead poisoning and exposure reports from providers, laboratories, and local health departments Information concerning the reporting of adult blood lead level; follow-up with adults who have elevated blood lead levels, and referrals to the Wisconsin State Laboratory of Hygiene Onsite Safety and Consultation (WisCON) Program and/or OSHA of employers when appropriate. Includes, but is not limited to, demographics (age, birthdate, gender, race) and case characteristics (diagnosis, lab test, procedure, industry, occupation). Wis. Admin. Code ch. DHS 140.05(1), 140.01, 254.13.

Input: Provider and patient contact information, Department of Health Services, Division of Public Health, Blood Lead Lab Reporting form number F-00017, as well as laboratory-specific report forms.

Records are confidential and access is protected per Wis. Stat. § 146.82.

Life-cycle Language: Paper and electronic input documents are entered, verified, and destroyed upon submission of required reports.

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

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| <u>01025A00.</u> | <u>ASBESTOS AND LEAD PROGRAM - TRAINING, ACCREDITATION AND CERTIF</u> | <u>EVT+50</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|---------------|-------------|----------|

Purpose: Pursuant to Wis. Stat. ch. 254 and Wis. Admin. Code chs. DHS 159 and DHS 163, these records are used to collect the required information to determine eligibility and compliance pertaining to the certification of individuals and companies, approval of instructors, accreditation of training courses, and lead-free/lead-safe registration of properties.

Contents: This record series includes, but is not limited to, individual and company certification applications including all notes and documents submitted or pertaining to applications. Accreditation materials include course curriculum materials, course approvals, course audit findings, and related correspondence and documentation. Lead Principal Instructor Application (F-44063) and Asbestos Principal Instructor (F-00049) or equivalents and any related notes and documentation. Application for Registration of Lead-Free or Lead-Safe Property (F-44011) or equivalent and any related documentation.

| RDA # | RDA Title | Retention | Disposition | PII |
|-------|-----------|-----------|-------------|-----|
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Collection and confidentiality of individual social security numbers and exam scores is authorized under Wis. Stat. § 254.115(2).

Closed: Defined as an expired certification, approval, accreditation, or registration.

Paper records will be retained onsite for three years after entry and verification in the electronic system, and then destroyed confidentially.

We need the entire data history for the program to track trends over time and provide programmatic data in support of program needs. For instance, if we expunge people and companies that have not been certified for several years, we can no longer query the database to determine how many certified persons and companies we had in any given year. The data helps us project future needs and gives a picture over time of the asbestos and lead industries in Wisconsin.

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

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|-------------------------|--|----------------------|--------------------|-----------------|
| <u>01025B00.</u> | <u>ASBESTOS AND LEAD PROGRAM - ACTIVITY NOTIFICATIONS</u> | <u>EVT+50</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|--|----------------------|--------------------|-----------------|

Purpose: Pursuant to Wis. Stat. ch. 254 and Wis. Admin. Code chs. DHS 159 and DHS 163, these records pertain to the notification of regulated asbestos and lead activities. The information provided on notification forms assist in the tracking and monitoring of the regulated activities of certified individuals and companies.

Contents: This record series includes, but is not limited to the following or the equivalents of, Notification of Lead-Based Paint Activity (F-44012), Asbestos Project Notification (F-00041), Training Course Notification (F-44099), Lead-Based Paint Investigation Summary Report (F-44013), Lead Principal Instructor Application (F-44063), Asbestos Principal Instructor (F-00049), Application for Registration of Lead-Free or Lead-Safe Property (F-44011).

Confidentiality: Collection and protection of individual social security numbers and exam scores is authorized under Wis. Stat. § 254.115(2).

Paper records will be retained onsite for one year after entry and verification in the electronic system and destroyed confidentially.

We need the entire data history for the program to track trends over time and provide programmatic data in support of program needs. For instance, if we expunge people and companies that have not been certified for several years, we can no longer query the database to determine how many certified persons and companies we had in any given year. The data helps us project future needs and gives a picture over time of the asbestos and lead industries in Wisconsin.

RETENTION: EVENT (Application/notification received) + 50 years and destroy confidential

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|-------------------------|---|----------------------|--------------------|-----------------|
| <u>01025C00.</u> | <u>ASBESTOS AND LEAD PROGRAM - ENFORCEMENT FILES</u> | <u>EVT+50</u> | <u>DEST</u> | <u>N</u> |
|-------------------------|---|----------------------|--------------------|-----------------|

Purpose: Pursuant to Wis. Stat. ch. 254 and Wis. Admin. Code chs. DHS 159 and DHS 163, these records document the investigation and enforcement actions for regulated asbestos or lead activities and certifications.

Contents: This records series includes, but is not limited to, any correspondence; final investigation notes; laboratory results; photos entered as evidence or other documentation of evidence; notices of noncompliance including forfeitures, suspensions, denials, and revocations; and other documentation related to enforcement actions for regulated asbestos and lead activities.

Closed: Defined as enforcement case conclusion or the final resolution of an enforcement action.

Paper records, including letters of noncompliance, photos, and lab results will be retained for five years after entry and verification in the electronic system, then destroyed confidentially.

We need the entire data history for the program to track trends over time and provide programmatic data in support of program needs. For instance, if we expunge people and companies that have not been certified for several years, we can no longer query the database to determine how many certified persons and companies we had in any given year. The data helps us project future needs and gives a picture over time of the asbestos and lead industries in Wisconsin.

RETENTION: EVENT (Closed) + 50 years and destroy

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|-------------------------|--|----------------------|--------------------|-----------------|
| <u>01027000.</u> | <u>GREAT LAKES TOXIC FISH CONSUMPTION EPIDEMIOLOGY DATA</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|--|----------------------|--------------------|-----------------|

PURPOSE: Epidemiologic assessment of the health effects from consumption of toxic contaminated Great Lakes fish.

CONTENTS: Demographics (age, birth date, gender, race); case characteristics (diagnosis, lab test, procedure; industry; occupation).

INPUT: Vital Records (birth); telephone survey report form. Boar captain's name, lab slips. Documents are destroyed after entered into data system, per RDA 435-00828.

OUTPUT: Quarterly progress report--statistical summary (without case level identifiers); periodic publication summary statistical format and OSHA monthly report.

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

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>01027A00.</u> | <u>GREAT LAKES TOXIC FISH CONSUMPTION EPIDEMIOLOGY - GRANT FILES</u> | <u>EVT+20</u> | <u>SHSW</u> | <u>Y</u> |
|------------------|--|---------------|-------------|----------|

Purpose: Pursuant to Wisconsin Stat. § 250.04, the Bureau of Environmental Health monitors/provides analysis of sport fish consumption and advisory trends in the Great Lakes basin and analysis of data to review consumption of fish in the diet as a route to exposure of environmental contaminants.

Contents: These records include, but are not limited to, Great Lakes fish reports, surveys, case studies, computer-generated printouts and all other related information pertaining to Great Lakes toxic fish consumption.

Included also are the following surveys, questionnaires and statement(s) of informed consent information:

- Lab Report Data and Analysis
- Male Reproductive Health Study Questionnaire
- Statement of Informed Consent
- Exposure History Questionnaire
- Fish Consumption Survey
- Fox River Fishing Survey

These files are arranged by grant name, then in chronological order.

Closed is defined as when the grant ends, 20 years. Keep 20 years after CLOSED. Materials are needed for research work.

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

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| <u>01028000.</u> | <u>CHILDHOOD LEAD POISONING PREVENTION PROGRAM DATA</u> | <u>EVT</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|------------|-------------|----------|

PURPOSE: STELLAR - Systematic Tracking of Elevated Lead Levels and Remediation, provided by CDC Atlanta, IBM 386. Tracks children with elevated lead levels, used for tracking, follow-up and case management and property investigations.

INPUT: Date elements include: a) name b) address c) demographics; d) data collected from forms F-44151 Acute and Communicable Case Report, laboratory reports and results of blood levels and dates blood was drawn, covered in RDA 453.

OUTPUT: Quarterly progress report - statistical summary (without case level identifiers); periodic publications in summary statistical form. Covered by RDA 1028A.

RETENTION: EVENT (Superseded) and destroy confidential

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| <u>01028A00.</u> | <u>CHILDHOOD LEAD POISONING AND PREVENTION PROGRAM REPORTING</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
|------------------|--|--------------|-------------|----------|

PURPOSE: Information concerning the reporting of children's blood lead levels, care coordination and follow-up of children with lead poisoning or lead exposure, including lead inspection and lead hazard reduction reports.

CONTENTS: This record series will cover all Lead poisoning and prevention and exposure reports from providers, laboratories, and health departments including but not limited to the following forms:

F-00017 - Blood Lead Reporting, F-44771A - Nursing Case Management Report, F-44771B - Nursing Case Closure Report, F-44771C - Property Investigation Report, F-44771D - Property Investigation Closure Report.

Justification for reduction in retention from 5 years to 1 year: All data from these forms is entered into the data system covered in RDA 01028 and can be extracted if necessary or reproduced by the submitting entity.

RETENTION: EVENT (Entered into Data System) + 1 year and destroy confidential

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|------------------|---|---------------|-------------|----------|
| <u>01036000.</u> | <u>SUPERFUND HAZARDOUS WASTE SITE HEALTH ASSESSMENT</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|---------------|-------------|----------|

A Superfund Site is a hazardous waste site defined under the guidelines provided by 42 U.S.C. § 9604(i)(6)(A). Records must be kept for litigation, claim, negotiation, audit, cost recovery or other actions involving Superfund sites as mandated by federal grant (CDC-RFA-TS20-2001).

Submission of a final financial status report barring open site actions, as mandated by federal grant (CDC-RFA-TS20-2001): "the recipient will retain the documents and records to support these financial transactions and documentation of work performed, for possible use in a cost recovery case, for a minimum of ten years after submission of a final financial status report for the grant, unless there is litigation, claim, negotiation, audit or other action involving the specific site; then the records will be maintained until resolution of all issues on the specific site."

Records include, but are not limited to, the following materials: Health assessments from Division of Public Health (DPH), Department of Natural Resources (DNR), Environmental Protection Agency (EPA), and public comments; technical documents from EPA, DNR, private well and site testing, feasibility studies, and remedial investigations; correspondence; materials associated with public meetings; site visit reports; site information such as summaries, fact sheets, and other miscellaneous materials.

Records series may contain confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. § 146.86.

RETENTION: EVENT (Final report submitted) + 10 years and destroy confidential

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
|------------------|--|------------------|--------------------|------------|
| <u>01036A00.</u> | <u>COST RECOVERY ADMINISTRATIVE RECORDS REQUIRED BY AGENCY FOR</u> | <u>EVT+10</u> | <u>TRANS OTHER</u> | <u>Y</u> |
| | <p>Purpose: The 2011 Notice of Award from the Centers for Disease Control Agency for Toxic Substances and Disease Registry (CDC/ATSDR) for this program requires site-specific and fiscal records must be kept for litigation, claim, negotiation, audit, cost recovery or other legal actions involving Superfunds (CERLIS) sites in the State of Wisconsin.</p> <p>Contents: Records and required copies include, but are not limited to the following documents and financial transactions:</p> <ol style="list-style-type: none"> 1. Timesheets 2. Travel vouchers and related costs 3. Invoices 4. Calculations of indirect cost rates 5. Contracts 6. Work assignments 7. Progress reports <p>Closed: Under terms of the Notice of Award, "Closed" means a minimum of 10 years after submission of the final financial status report to CDC/ATSDR for the specified grant award year, unless there is litigation, claim, negotiation, audit, or other actions involving the specific site, the records will be maintained until resolution of all issues on that specific site. Furthermore, DHS must obtain written approval from the CDC/ATSDR Cost Recovery Program before destroying any records. Transfer closed records back to the bureau for approval to destroy from the CDC/ATSDR Cost Recovery Program.</p> <p>RETENTION: EVENT (Closed) + 10 years and transfer to BEOH, 1 West Wilson Street, RM 150</p> | | | |
| <u>01105000.</u> | <u>TREMOLITE ASBESTOS EXPOSURE FROM VERMICULITE ORE, ATSDR COOF</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: Study for potential exposure of tremolite exposure to Wisconsin citizens who had contact with exfoliated vermiculite that originated from mining in Libby, Montana.</p> <p>History: The program interviewed Wisconsin residents diagnosed with mesothelioma, or their surviving family members, in order to identify the source of their potential asbestos exposures, with emphasis on vermiculite.</p> <p>Contents/Justifications: Contents include grant award and administrative documents; interview tools, completed interview survey forms, and reports to ATSDR, the federal funding agency. These records need to be retained in the event of the appearance of additional cases of mesothelioma related to tremolite asbestos exposures. The latency of mesothelioma from asbestos exposure is at least 10 years.</p> <p>Disposition: Event date would be Jan. 1, 2012; retain all documents 10 years after event date or until Jan. 1, 2022. These records need to be returned to DHS BEOH staff, as requested by the funding agency (ATSDR) for the agency's final review and approval prior to destruction.</p> <p>RETENTION: EVENT (January 1, 2012) + 10 years and destroy confidential</p> | | | |
| <u>01115000.</u> | <u>INSPECTION OF PORTABLE X-RAY DEVICES</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | <p>Purpose: Inspection of portable x-ray devices and review of corresponding supplier, CMS, HHS ss 486.110(b).</p> <p>Contents: Includes but is not limited to the following federal forms: CMS-2567 Statement of Deficiencies and Plan of Correction, CMS-670 Survey Team Composition and Workload Report, CMS-1882 Portable X-ray Survey Report, HCFA-1880 Request for Certification as Supplier of Portable X-rays Services, HCFA-1513 Disclosure of Ownership and Control Interest Statement, and correspondence generated by the State of Wisconsin Department of Health Services, BEOH, X-ray Program.</p> <p>Closed means out of business due to retirement, death, selling to another party, etc.</p> <p>RETENTION: EVENT (Closed) + 5 years and destroy</p> | | | |
| <u>01116000.</u> | <u>RADIATION-SHIELDING PLAN APPROVALS OF X-RAY DEVICES</u> | <u>CR+10</u> | <u>DEST</u> | <u>N</u> |
| | <p>Purpose: Reviewing and approving radiation-shielding plans of x-ray devices for the DHS Division of Quality Assurance, as prescribed in the Wis. Admin. Code ss DHS 157.81.</p> <p>Contents: Includes but is not limited to data collected, site plans, correspondence, and approvals.</p> <p>Documentation and plans are kept for 10 years post approval. In the event owner(s) goes out of business due to retirement, death, or selling to another party and does not have a copy of the approved plan, the history of approved radiation-shielding plan(s) is available to new owner. These plans include information regarding lead in walls that would need special remediation if taken down.</p> <p>RETENTION: EVENT (Creation) + 10 years and destroy</p> | | | |
| <u>01117000.</u> | <u>MAMMOGRAPHY INSPECTIONS</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | <p>Purpose: Documentation of inspections as required by the U.S. Food and Drug Administration, Mammography Quality Standards Act (MQSA) (as amended by MQSA of 1998 and 2004) Title 42 -- Public Health and Welfare, Chapter 6A -- Public Health Service,</p> | | | |

Dept #: /102/ Department Name: DPH - ENVIRONMENTAL & OCCUPATIONAL HEALTH

RDA # RDA Title Retention Disposition PII

Subchapter II -- General Powers and Duties, Part F, Sec. 263b.

Contents: Includes but is not limited to inspection reports, correspondence, corrections of noncompliance, and sample films.

Closed means out of business due to retirement, death, selling to another party, etc.

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

01118000. PNEUMOCONIOSES CONSULTATION AND SURVEILLANCE EVT+6 DEST Y

Purpose: The Centers for Disease Control, National Institute for Occupational Safety and Health (NIOSH), has screened workers for over 70 years using x-ray film. NIOSH funded, via grants, the Department of Health Services, Division of Public Health, Bureau of Occupational and Environmental Health, to do consultations and provide a second opinion and surveillance for workers whose chest x-rays were submitted by physicians, clinics, employers, and individual workers.

Contents: Case files include but are not limited to individual's medical record, x-rays, survey questionnaire, International Labor Organization (ILO) 1980 X-ray Classification Report. Original chest x-rays, and records are returned to the submitting physician, clinic, employer, or individual along with the interpretation. Copies of records and notes of unusual cases and/or exposure are kept for further investigation.

Confidential and personally identifiable information (PII) is collected and protected under HIPPA, 42 CFR, Chapter 2(A), and Chapter IV, (2015 versions).

Event: Over time, BEOH had at least three qualified specialists available to do interpretation of chest x-rays. This service is discontinued effective July 1, 2016 as there will no longer be staff with the expertise nor funding to provide this service.

RETENTION: EVENT (July 31, 2016) + 6 years and destroy confidential

01136000. ASTHMA-SAFE HOMES PROGRAM RECORDS EVT+16 DEST Y

The Asthma-Safe Homes Program (ASHP) maintains records pertaining to the functions of the program, serving children ages 2-18 and pregnant people with uncontrolled asthma.

Participant records include, but are not limited to, name, date of birth, address, personal health information (asthma control metrics), environmental home walkthrough information, durables given to clients, and health and home recommendations for improved asthma. Program records include, but are not limited to, participation agreements, invoices, education visit reports, education provider summary, scopes of work, contract agreements, and other supporting documents.

Records contain confidential information per 45 C.F.R. pts. 160 and 164 and Wis. Stat. § 146.86.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (case is closed) + 16 years and destroy confidential

01138000. ASTHMA-SAFE HOMES SURVEILLANCE DATA P PERM N

The Asthma-Safe Homes Program (ASHP) data needed for program evaluation and longitudinal studies, is extracted from closed ASHP records in RDA 1136.

Information to be removed upon extraction: name, DOB, contact information (e.g. phone, email), and home address. Addresses will be geocoded down to the block group level before deleting. Geographic data that will be saved include block group, census tract, zip code, and city.

Records require a permanent retention period in order to successfully monitor the prevalence of asthma in Wisconsin per the Wisconsin Asthma Plan 2021-2025 and the Centers for Disease Control and Prevention National Asthma Control Program Guide for State Health Agencies in the Development of Asthma Programs.

RETENTION: PERMANENT

Dept #: /103/ Department Name: DPH - OFFICE OF HEALTH INFORMATICS

RDA # RDA Title Retention Disposition PII

00054700. HEALTH FACILITIES PROJECT - SURVEYS AND DOCUMENTATION EVT+6 DEST Y

| RDA # | RDA Title | Retention | Disposition | PII |
|-------|-----------|-----------|-------------|-----|
|-------|-----------|-----------|-------------|-----|

Purpose: To hold surveys and the documentation to answer questions about old datasets as such questions arise.

Contents: Include survey forms completed by health care providers who participate in health facility and workforce surveys. Documentation written by analysts for the compilation and review of data, including the writing of reports based on this data. The survey forms and published reports contain information on facility and workforce characteristics, staffing and in some cases revenues and assets.

Definition: Health care providers includes hospitals, nursing homes, hospices, other health-related facilities, and home health agencies.

Closed: Considered closed at the end of the calendar year following the fiscal year in which the records were produced. This means that records will be destroyed six years after the close of the calendar year following the fiscal year in which the records were produced.

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

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|------------------|---|--------------|-------------|----------|
| <u>01066000.</u> | <u>STATEWIDE PUBLIC HEALTH NURSING (PHN) LEGISLATIVE MANDATED COI</u> | <u>CR+15</u> | <u>SHSW</u> | <u>N</u> |
|------------------|---|--------------|-------------|----------|

Purpose: To develop community health plans, perform community health assessments, provide oversight to a general health-nursing program under the jurisdiction of every local health department in Wisconsin.

Contents: Include, but is not limited to, reports and files of planning initiatives such as planning documentation, correspondence, presentation materials, meeting minutes, and qualitative data (for example; aggregate results of community assessments, community assessment methodologies, documentation of assessment needs, plans, public health nursing initiatives and strategic plans for public health nursing). Contents also include materials produced by the Department's public health nursing program, statewide and regional public health nursing consultants. These materials include, but are not limited to, technical assistance documentation and guidance documents, supportive documents, reports and plans regarding public health nursing initiatives (for example; strategic plan for public health nursing, roles and responsibilities of public health nursing in key programs such as school health, tuberculosis, and hepatitis).

Justification: The long retention period is necessary for reference and future longitudinal studies as many of these documents serve as the basis for current public health nursing practices.

RETENTION: EVENT (Creation) + 15 years and transfer to State Archives (WHS)

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|------------------|---|---------------|-------------|----------|
| <u>01099A00.</u> | <u>FAMILY HEALTH SURVEY (FHS) ANNUAL AND REVISED DATA COMPILATION</u> | <u>EVT+10</u> | <u>SHSW</u> | <u>N</u> |
|------------------|---|---------------|-------------|----------|

The FHS is a random sample survey of Wisconsin households conducted annually. A contract vendor conducts the interviewing by telephone. The information collected via the survey is submitted in an electronic format to the Department of Health Services (DHS) for research and analysis. There are no statutory requirements for the production or retention of these datasets.

The annual records include the following: annual dataset, revised dataset, Data Use Agreement, and accompanying documentation, which includes the survey questionnaire, data dictionary, code book, description of variables, programmer notes, response rate reports, sampling description, weighting description, interviewer training records, analysis reports, and historical records.

The vendor will retain raw data set records for 10 years and then destroy them. This retention period allows for additional research and comparisons over time of FHS data sets.

Retention for 10 years allows for comparisons of FHS datasets in general, as well as comparisons over time between FHS data and other data sources to look for trends or anomalies in the data.

RDA PUR00010 covers the FHS contracts.

RETENTION: EVENT (Date Data Collected) + 10 years and destroy

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| <u>01099C00.</u> | <u>FAMILY HEALTH SURVEY (FHS) ANNUAL REPORTS FOR TRANSFER</u> | <u>EVT+10</u> | <u>SHSW</u> | <u>N</u> |
|------------------|---|---------------|-------------|----------|

The FHS is a random sample survey of Wisconsin households conducted annually. The interviewing is done by telephone by a contract vendor. The information collected via the survey is submitted in an electronic format to the Department of Health Services (DHS) for research and dissemination via health information reports. The health information reports are distributed to other state agencies, researchers, insurance companies, etc., including Wisconsin Health Insurance Coverage (annual), Wisconsin Family Health Survey, Local Data on Poverty Status and Health Insurance Coverage in Wisconsin, and tables included in the Minority Health Report and in Healthy Wisconsin. There are no statutory requirements for the production or retention of these data sets.

The reports include a summary of key findings on health insurance coverage and health care throughout Wisconsin, including tables for counties, regions, and the state that provide estimates of the number and percent of the population by poverty status, health insurance coverage over the past year, and type of health insurance.

Retention for 10 years of the Annual Reports provides a repository of information and historical documentation to be used as a reference when conducting trend analysis over time.

RDA PUR00010 covers the FHS contracts.

RETENTION: EVENT (Date Data Collected) + 20 years and transfer to Wisconsin Historical Society

| RDA # | RDA Title | Retention | Disposition | PII |
|------------------|--|--------------|-------------|----------|
| <u>00164000.</u> | <u>FAMILY PLANNING PROGRAM</u> | <u>CR+5</u> | <u>SHSW</u> | <u>N</u> |
| | <p>PURPOSE: The Family Planning Program provides consultation, technical assistance, and monitoring services to agencies funded with Division of Public Health funds, and others interested in applying for funds. The target population is women who are in their reproductive years and who for reasons of income or other factors beyond their control are not able to obtain family planning services readily and easily.</p> <p>CONTENT: This record series includes correspondence, informational materials, materials on the development of legislation and rules, staff reports, policies, and other related material.</p> <p>RETENTION: EVENT (Creation) + 5 years and transfer to Wisconsin Historical Society</p> | | | |
| <u>00166000.</u> | <u>CONGENITAL DISORDERS PROGRAM</u> | <u>FIS+6</u> | <u>DEST</u> | <u>N</u> |
| | <p>PURPOSE: Pursuant to Wis. Stat. § 253.13, all infants in Wisconsin are required to be tested for congenital disorders as described in Wis. Admin. Code ch. DHS 115. DHS is authorized to coordinate the testing program and to assure appropriate follow-up is provided.</p> <p>CONTENTS: Includes, but is not limited to, contacts, contractors' budgets, contractors' work plans, general correspondence, and programmatic information.</p> <p>RETENTION: EVENT (End of fiscal year) + 6 years and destroy</p> | | | |
| <u>00187000.</u> | <u>WIC VENDOR FILES, WIC AND SENIOR FARMERS' MARKET NUTRITION PRO</u> | <u>EVT+4</u> | <u>DEST</u> | <u>Y</u> |
| | <p>In accordance with C.F.R. Part 246, Wis. Stat. § 253.06, and Wis. Admin. Code ch. 149, DHS is responsible for authorizing Wisconsin grocery stores and pharmacies as vendors who provide food to Women, Infants and Children (WIC) participants. Once authorized, DHS is responsible for monitoring vendor prices, program compliance and sanctions vendors for program rule violations. All vendors are subject to reauthorization every three years. In addition, in accordance with C.F.R. Part 248 and C.F.R. Part 249, DHS is responsible for authorizing farmers as vendors who provide food to WIC participants and Senior FMNP participants. Once authorized, DHS is responsible for program compliance including sanctions imposed on vendors for program rule violations.</p> <p>Records include, but are not limited to: WIC: Initial vendor Application (F-44118), vendor agreements and other documents relating to vendor application, letter of authorization/denial, reauthorization application and related materials, Vendor Application Amendment (F-40108) Vendor Monitoring Worksheets (F-44003), Vendor Monitoring Results (F-40087 and F-40088), Vendor Training Proof of Participation (F-44727), Stock Price Survey (F-44621), replaced/rejected/compliance buy WIC drafts and related correspondence, and letter of termination.</p> <p>FMNP: Farmer agreements, training verification forms, monitoring worksheets, correspondence relating to program compliance (i.e., sanctions, complaints), farmers' market applications, farm stand applications, farmers' market rules and maps and other correspondence/documents relating to farmers, markets, and stands.</p> <p>RDA 187 does not pertain to Compliance Investigation files, which are subject to RDA 187A.</p> <p>The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.</p> <p>Relevant Confidential Authority: Wis. Stat. § 253.06</p> <p>RETENTION: EVENT (Vendor Denied or Terminated) + 4 years and destroy confidential</p> | | | |
| <u>00187A00.</u> | <u>TERMINATED WIC (WOMEN, INFANTS AND CHILDREN) VENDOR AND INFAN</u> | <u>EVT+4</u> | <u>DEST</u> | <u>Y</u> |
| | <p>PURPOSE: The WIC Vendor Management & Integrity Unit, in accordance with 7 C.F.R. 246, Wis. Stat. § 253.06(1), and Wis. Admin. Code ch. DHS 149, is responsible for authorizing Wisconsin grocery stores and pharmacies as vendors who provide food to WIC participants and for approving infant formula suppliers. Once authorized, the program is responsible for monitoring vendor program compliance, and sanctions vendors for program rule violations. All vendors are subject to reapplication every three years.</p> <p>CONTENT: These files are related to WIC authorized vendors and infant formula suppliers that have been terminated and include, but are not limited to: Initial vendor authorization application (F-40034), stock price surveys (F-44621), vendor agreements (F-40036), preauthorization site visit (F-44324), vendor training (F-44727), monitoring reports (F-04003), application amendment (F-40108), participant/vendor complaints (F 44322), vendor contact report (F-01982), infant formula supplier application (F-01821), compliance buy reports (F-01326), corrective action (F-02305), compliance buy evidence transfer (F-02286), receipt for confiscated eWIC card (F-01474), inventory receipts/invoices, bank records, sales and use tax forms, exposition tax forms, questionnaires, requests for records, vendor correspondence, letters, and termination notice.</p> <p>DEFINITION: The record is closed after all sanction periods have been completed and full restitution has been paid, whichever occurs last.</p> <p>RESTRICTED ACCESS: Per 7 C.F.R. § 246.26 (e), the information in these files is restricted.</p> | | | |

| RDA # | RDA Title | Retention | Disposition | PII |
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RETENTION: EVENT (Closed) + 4 years and destroy confidential

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| <u>00576000.</u> | <u>INFANT DEATH CENTER OF WISCONSIN</u> | <u>FIS+10</u> | <u>SHSW</u> | <u>N</u> |
|------------------|---|---------------|-------------|----------|

Per Wis. Stat. § 253.14 to provide bereavement support and services to families and others who are affected by a sudden or unexpected infant death. These services extended to families through a contract with the Children's Health Alliance of Wisconsin. The department shall make available upon request follow-up counseling by trained health care professionals for parents and families of victims of sudden infant death syndrome.

Records include, but are not limited to, contracts, work plan, and end of year reports, correspondence, meeting minutes, etc. These records consist of materials related to the Infant Death Center of Wisconsin statewide Maternal and Child Health project, per Wis. Stat. § 253.14. These records reflect the correspondence related to the statewide contract to meet this statute.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (end of fiscal year) + 10 years and transfer to State Archives (WHS)

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| <u>01042000.</u> | <u>PUBLIC HEALTH CONFIDENTIAL CANCER RECORDS - CANCER PREVENTIOI</u> | <u>FIS+15</u> | <u>DEST</u> | <u>Y</u> |
|------------------|--|---------------|-------------|----------|

Pursuant to Wis. Stat. § 255 and Wis. Admin. Code ch. DHS 147 the Bureau of Community Health Promotion, Wisconsin Well Woman Program provides programs related to detection and monitoring of cancer related diseases and the investigation and determination of conditions that contribute to preventable or premature illness, disability, and death.

Records include, but are not limited to, clinic and hospital patient records, annual training plans and work plans, subcontracting reports, quarterly and annual reports. Forms include, but are not limited to, F-44723, F-44724, F-44725, F-44737, UB-92, HCFA-1450, HCFA-1500, and DOA-3066N. Records and forms may include Personally Identifiable Information (PII) and/or Personal Health Information (PHI).

Programs to be utilizing this record series include, but are not limited to, Wisconsin Women's Cancer Control Program, Wisconsin Well Woman Program, and Breast Cancer Screening Program.

Records series contains confidential content per 45 C.F.R. pts. 160 and 164 and Wis. Stat. § 146.86.

RETENTION: EVENT (end of fiscal year) + 15 years and destroy confidential

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| <u>01043000.</u> | <u>CLOSED WIC LOCAL AGENCY RECORDS</u> | <u>EVT+6</u> | <u>DEST</u> | <u>Y</u> |
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Pursuant to 7 C.F.R. pt. 246.25 each state and local agency shall maintain full and complete records concerning the Women, Infants and Children Supplemental Nutrition Program (WIC) administration, reports and tracking of individual participants.

This record series will include, but not be limited to, files relating to closing of WIC local agencies, terminated individual files, fiscal records, and correspondence pertaining to these items.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Records are confidential per 7 C.F.R. pt. 246.26(d).

RETENTION: EVENT (Date local agency is closed) + 6 years and destroy confidential

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| <u>01135000.</u> | <u>WIC AND FMNP PARTICIPANT RECORDS</u> | <u>EVT+6</u> | <u>DEST</u> | <u>Y</u> |
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Pursuant to 7 C.F.R. § 246.25 each state agency shall maintain full and complete records concerning Women, Infants and Children Supplemental Nutrition Program (WIC) Program operations. Pursuant to 7 C.F.R. § 248.23 each state agency shall maintain full and complete records concerning Farmers Market Nutrition Program (FMNP) operations.

Applicant and participant records include, but are not limited to, certification, nutrition education, breastfeeding promotion and support; food delivery systems; food instrument issuance and redemption records including FMNP check issuance and WIC Electronic Benefit Transfer (EBT); and system generated reports. Excludes vendor data governed by RDAs 187 and 187A and financial transactions governed by Fiscal and Accounting Records General Records Schedules RDAs.

Records may be held in multiple electronic systems, All records contain a timestamp. If a record contains more than one timestamp the most recent timestamp is used to start the retention period.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and

Dept #: /104/ Department Name: DPH - COMMUNITY HEALTH PROMOTION

| RDA # | RDA Title | Retention | Disposition | PII |
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retention of the electronic images, the input record will be destroyed confidentially.

Records are confidential per 7 C.F.R. § 246.26 (d) and 7 C.F.R. § 248.24 (c).

RETENTION: EVENT (most recent timestamp) + 6 years and destroy confidential

Dept #: /105/ Department Name: DPH - OFFICE OF PREPAREDNESS AND EMERGENCY HEALTH CARE

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00226000.</u> | <u>EMS COMMUNICATION RECORDS</u> | <u>CR+7</u> | <u>DEST</u> | <u>N</u> |
|------------------|----------------------------------|-------------|-------------|----------|

Purpose: To assure compliance with mandates of Wisconsin Emergency Medical Services (EMS) Communication/Telemetry Plan and Federal Communications Commission (FCC) regulations and a source of reference.

Content: Correspondence, memoranda, and related materials regarding FCC licensed Wisconsin EMS Communication Network covering basic, intermediate, and paramedic services for frequencies 155.280, 155.340, 155.400, and 468 MHz; annual inspection forms and vendor information. FCC licenses are valid for 10 years. Current licensing information is available on the FCC website.

RETENTION: EVENT (FCC License is no longer valid) + 7 years and destroy

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|------------------|-------------------------------------|--------------|-------------|----------|
| <u>00228000.</u> | <u>FR/EMT CERTIFICATION/LICENSE</u> | <u>EVT+8</u> | <u>DEST</u> | <u>Y</u> |
|------------------|-------------------------------------|--------------|-------------|----------|

Purpose: To verify eligibility for certification as a First Responder (FR) or license as an Emergency Medical Technician (EMT) pursuant to Wis. Stat. ch. 256 and Wis. Admin. Code ch. DHS 110.

Contents: Electronic records, E-Licensing, includes documents supporting eligibility for certification and or license. Data includes applications, copies of CPR and/or ACLS cards, verification of successful completion of the required education and examination, documentation of criminal history, traffic violations, evidence of rehabilitation, correspondence to and from the licensee or their affiliate services, letters of reprimand, and documentation of other disciplinary action. Some older paper records still exist.

Definitions:
CPR--Cardiopulmonary Resuscitation
ACLS--Advanced Cardiac Life Support

Confidential information including social security number may not be disclosed to any person with the exception of the Department of Children and Families, the Department of Revenue, and the Department of Workforce Development as cited under Wis. Stat. § 256.17 (2) and 256.18 (2).

RETENTION: EVENT (License expires) + 8 years and destroy confidential

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| <u>00229000.</u> | <u>EMS COMPLAINT FILES</u> | <u>EVT+5</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To document complaints and investigations involving licensed emergency medical services (EMS), licensed emergency medical technicians (EMTs), or certified first responders.

Content: Files contain documentation of complaints and investigations conducted by the Office of Preparedness and Emergency Health Care involving licensed emergency medical service ambulance providers, certified first responder services, licensed emergency medical technicians, or certified first responders pursuant to Wis. Admin. Code chs. DRS 110 through 113. Files may include patient information that is considered confidential under Wis. Stat. § 146.38.

Documentation includes, but is not limited to, the following: original complaint, requests for records, ambulance run reports, written statements from witnesses, recorded interview tapes, medical records of patients, dispatch logs and/or dispatch audio tapes, investigative summaries, and administrative or disciplinary action. The official record of any administrative or disciplinary action that maybe imposed are retained in the FR/EMT Certification/Licensure file covered by RDA 435-228 or in the EMS Service Provider Application file covered by RDA 435-231.

Closed means the investigation has concluded with or without administrative or disciplinary action.

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

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| <u>00231000.</u> | <u>EMERGENCY MEDICAL SERVICE APPLICATION</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
|------------------|--|--------------|-------------|----------|

Purpose: To verify eligibility for certification as a First Responder (FR) or license as an Emergency Medical Technician (EMT) pursuant to Wis. Stat. ch. 256 and Wis. Admin. Code ch. DHS 110.

Contents: Electronic records, E-Licensing, includes documentation required for certification/license to operate as an emergency medical services provider. Data includes, but is not limited to, complete provider applications(s), current operational plan, current

| RDA # | RDA Title | Retention | Disposition | PII |
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approved protocols, administrative correspondence to and from the provider, documentation of Funding Assistance Program (FAP) funds awarded to the service, letters of reprimand, investigative summaries, and other administrative/disciplinary action taken against the service provider.

Note: Providers have direct access to the database to access E-Licensing. Access to the database allows them to add or delete staff from their roster, and update various information pertaining to their service.

Lifecycle Language: Paper records will be retained onsite for 30 days after entry and verification in the electronic system, then destroyed.

RETENTION: EVENT (Provider ceases to provide service) + 5 years and destroy

| RDA # | RDA Title | Retention | Disposition | PII |
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|------------------|-----------------------------|--------------|-------------|----------|
| <u>00358000.</u> | <u>TOXIC SHOCK SYNDROME</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
|------------------|-----------------------------|--------------|-------------|----------|

Purpose: DPH investigated Toxic Shock Syndrome cases and followed outcomes to compile data on risk factors and for other studies. Information is also stored as reference to accommodate inquiries by courts on an ongoing basis, as litigation occurs. Activity is pursuant to S.S. 252.05 (Reports of cases of communicable diseases) and DHS 145.04.

Contents: Record series may contain, but is not restricted to, the following: Case Questionnaires, medical records from physicians and hospitals laboratory reports, records of telephone communications, correspondence, data analysis which were prepared periodically, drafts of manuscripts containing tables and other information utilized in preparing publications.

Closed: Study ended in 2011 and conclusive studies/reports have been completed. There is no value in retaining the record.

This record series was previously designated to go to the Wisconsin State Historical Society upon reaching the end of its retention period. A review of the contents of this record series indicates that medical records are contained in this series; these must be handled in a way to be HIPAA compliant. We request that this record series not be forwarded to the State Historical Society because they are not HIPAA compliant; disposition should be changed to confidential destruction.

RETENTION: EVENT (End of study) + 1 year and destroy confidential

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| <u>00447000.</u> | <u>LABORATORY TEST REPORTS/STD</u> | <u>CR+1</u> | <u>DEST</u> | <u>Y</u> |
|------------------|------------------------------------|-------------|-------------|----------|

PURPOSE: Monitoring and reporting of sexually transmitted disease (STD) is a requirement under s.s. 252.11 A cooperative effort between health care professionals, laboratories and public health agencies in Wisconsin provides the state with positive and negative results of laboratory tests. Secure storage is needed to assure privacy of these records.

CONTENTS: Data included in this series contains, but is not restricted to, DPH form F-44243 (Rev. 06/10), and F-44151 (Rev. 08/08) or its equivalent form or equivalent computer printout. Information includes, but is not restricted to, name of laboratory, address of laboratory, period covered by the report, name of patient, type of test, result and titer, name and address of patient's physician.

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

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| <u>00448000.</u> | <u>SEXUALLY TRANSMITTED DISEASE CASE REPORT</u> | <u>EVT+3</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|--------------|-------------|----------|

Purpose: Physicians are required to report positive results of communicable disease, as required by DHS 145 and state statutes ss 252.11. STD information is sent by physicians to the state, on the forms referenced in this RDA. The record contains personally identifiable information and may be requested by patients and their lawyers for use in litigation matters. This information is also used by the state for researching related STD cases and for trend analysis.

Content: The individual case files include, but are not restricted to, the following forms:

- F-44243 (Rev. 06/10), STD Laboratory & Morbidity Epidemiologic Case Report.
- F-44151 (Rev. 08/08), Acute and Communicable Disease Case Report, or equivalent forms.
- Lab testing forms submitted to the state and local health departments for positive findings only (S. 143).

RETENTION: EVENT (After entered into Communicable Dis System) + 3 years and destroy confidential

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| <u>00448A00.</u> | <u>STD (SEXUALLY TRANSMITTED DISEASE) REPORTING</u> | <u>CR+50</u> | <u>DEST</u> | <u>N</u> |
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Purpose: STD Statistics are prepared for the CDC (Centers for Disease Control) and for state use. Federal CC reports and selected state reports are stored for reference, legal, and audit purposes.

Content: Reports stored include, but are not limited to, the following monthly, quarterly and/or annual reports: PHS 9.2638 (CDC), (Semi-Annual Report of Civilian Cases of Syphilis, Gonorrhoea), CDC 73.2157 (F. 9.2127) (Quarterly Epidemiologic Activity Report),

| RDA # | RDA Title | Retention | Disposition | PII |
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CDC 73.998 (Monthly Surveillance report of Early Syphilis by County), CDC 73.688 (Federal Quarterly Morbidity Report).

Recent materials stored in this series may also include supporting documentation describing methods used in generating or compiling the reports, and other associated materials. Reports stored in this series were prepared using data submitted on DPH forms: F-44243 and F-44151 or their equivalent, which (at the time of this 2012 RDA review) is now data entered into computer files. (The completed forms are covered by RDA 448).

RETENTION: EVENT (Creation) + 50 years and destroy

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| <u>00453000.</u> | <u>ACUTE AND COMMUNICABLE DISEASE CASE REPORTS & RELATED MATER</u> | <u>EVT</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|---|-------------------|--------------------|-----------------|

Purpose: Pursuant to S.S. 252.05 and S.S. 143.03 communicable disease information is reported by physicians, laboratories and local health department on form F-44151 Acute and Communicable Disease Case Report or equivalent. These data are used for required prevention activities and monitoring of population health status and are also used to develop morbidity trends and other statistical reporting. Data collected from these reports, whether received on paper or electronically, are entered into a computer data system, Wisconsin Electronic Disease Surveillance System. (See RDA 453B)

Contents: Completed Acute and Communicable Disease Case Report or other equivalent reporting form(s) which include, but are not limited to, name, address, date of birth, marital status, sex, race and ethnic origin. A file may also contain medical data concerning diagnosis and status of the disease (e.g., laboratory tests, diagnosis and epidemiological data), name of person or agency reporting the case and attending physician, vaccination history and treatment.

NOTE: Paper records can be destroyed after the information is entered into the Wisconsin Electronic Disease Surveillance System (WEDSS) and verified.

RETENTION: EVENT (Information is entered into the WEDSS and verified) and destroy confidential

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| <u>00453B00.</u> | <u>ACUTE AND COMMUNICABLE DISEASE REPORTING (WEDSS)</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
|-------------------------|--|-----------------|--------------------|-----------------|

Purpose: Pursuant to S.S. 252.05 and S.S. 143.03 communicable disease information is reported by physicians, laboratories, and local health departments on form F-44151 Acute and Communicable Disease Case Report of equivalent. These data are used for required prevention activities and monitoring of population health status and are also used to develop morbidity trends and other statistical reporting.

Content: Data fields include, but are not limited to, name, address, date of birth, marital status, sex, race and ethnic origin. A file may also contain medical data concerning diagnosis and status of the disease (e.g., laboratory tests, diagnosis and epidemiological data), name of person or agency reporting the case and attending physician.

Input: Acute and Communicable Disease Case Report (F-44151), or the CDC equivalent, and any related material. Covered by RDA 453.

Output: Surveillance, statistical reports, epidemiologic analysis. Non record no RDA needed.

The electronic record is permanent because there are several chronic diseases tracked in the WI Electronic Disease Surveillance System (WEDSS) that require history so public health does not repeatedly call for an initial consultation/intervention for a condition someone has had and been aware of for 20 years. In addition, the TB program needs the data stored permanently because documentation of this treatment is frequently required by employers and schools many years after the fact; public health is the major provider of this treatment; and the WEDSS is the official method of documentation of reportable diseases for Wisconsin. WEDSS will become the system for collecting childhood lead data in the near future, they require history both to track individual children and lead results and locations that have been investigated to track housing that has not been remediated over time. It allows for applying limited resources where it is most needed. The immunization program needs to track both vaccine preventable conditions over time but also vaccinated persons who get an illness for which they were vaccinated.

RETENTION: Permanent

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| <u>00497000.</u> | <u>SEXUALLY TRANSMITTED DISEASE EPIDEMIOLOGIC REPORT</u> | <u>CR+1</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: Cases of Syphilis, Gonorrhea, and other sexually transmitted diseases of patients and contacts residing in Wisconsin is reported and monitored pursuant to State Stat. 252.11. The cases are reported in an effort to follow-up on positive cases. Secure storage is needed to assure privacy of these records.

Content: Forms stored in this series include, but are not restricted to, Interstate Transmission Control Identification, F-44243 (Rev. 06/10), and F-44151 (Rev. 08/08), CDC 73.2936S (Rev. 05/01), or its equivalent. Forms are completed by the Keenan Health Center Clinic in Milwaukee, district and local health offices, out-of-state Health Departments, and the Selective Service. Information reported may include but is not restricted to race, sex, marital status, diagnosis, date of exposure and address.

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

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| <u>01114000.</u> | <u>AIDS/HIV LABORATORY TEST REPORT</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|---|---------------------|--------------------|-----------------|

PURPOSE: Monitoring and reporting of HIV and AIDS is required under Wis. Stat. § 252.15(7b); laboratory reporting requirements for public health is a requirement under § 252.05(2). A cooperative effort between health care professionals, laboratories, and public health agencies in Wisconsin provides the state with positive results of laboratory tests.

Dept #: /108/ Department Name: DPH - COMMUNICABLE DISEASE

| RDA # | RDA Title | Retention | Disposition | PII |
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CONTENTS: Computer or hand written laboratory reports, including but not limited to, name and address of laboratory, period covered by the report, patient's name, date of birth, address, telephone number, type of test and results, name and address of patient's provider. All results and case data are entered in the Enhanced HIV/AIDS Reporting System (eHARS), a national CDC database.

Record series is confidential per Wis. Stat. § 252.15(3m).

RETENTION: EVENT (Data transferred to CDC) + 1 year and destroy confidential

Dept #: /109/ Department Name: DPH - COMM DISEASE - HIV/AIDS

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>01070000.</u> | <u>AIDS / HIV DRUG ASSISTANCE AND INSURANCE ASSISTANCE PROGRAM</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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In accordance with Wis. Stats. § 49.686, this series provides documentation of eligibility for assistance from the AIDS/HIV Drug Assistance Program (ADAP). ADAP is a program that assists qualified low-income people living with HIV to pay for certain medications used in treating HIV. In accordance with Wis. Stat. §§ 252.16, and 252.17, Wis. Admin. Code ch. DHS 138, this series provides documentation of eligibility for premium subsidies under the Insurance Assistance Program to maintain access to health insurance coverage for qualified low-income people living with HIV.

This series includes, but is not limited to, the following: 1) Application forms (F-44614A, F-44614B, F-44511) and older format forms (DPH 4614 and DPH 4511); 2) Documentation of client financial status; 3) Documentation of client insurance status; 4) Application approval letters and termination letters; 5) Other routine correspondence related to program eligibility and file notes (notes maintained in the client file documenting verbal contact with the client regarding program eligibility and program participation).

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Relevant Confidential Authority: Wis. Stat. § 252.15(3m).

RETENTION: EVENT (Date individual is no longer eligible) + 7 years and destroy confidential

Dept #: /110/ Department Name: DPH - POLICY AND PRACTICE ALIGNMENT

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>01125000.</u> | <u>J-1 VISA WAIVER APPLICATION MATERIAL</u> | <u>EVT+0/1</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: Wisconsin participates in the Conrad 30 Waiver Program (J-1 Visa Waiver Program) to help communities with a shortage of primary care physicians recruit and retain qualified foreign medical graduates to provide care for three years. The program addresses the shortage of qualified doctors in medically underserved areas by allowing J-1 medical doctors to apply for a waiver of the two-year residence requirement upon completion of the J-1 exchange visitor program, Immigration Nationality Act § 214(1). Federal immigration law (Public Laws 103-416 and 107273) authorizes each state to request the waivers on behalf of J-1 visa physicians each year. The Division of Public Health is the designated state health agency that can submit recommendations for J-1 visa waivers to the U.S. Department of State. RDA is created due to records being identified during agency review.

Content: The cycle for new applications begins October 1 of each year. Application contents include, but are not limited to, paper applications received from immigration attorneys or providers, data sheet/bar code page for Medical Doctor, employment contract from clinic/hospital, documentation of J-1 status while student, Applicant Physician Assurances (F-43005), attorney representation for medical doctor, I-94 departure record from originating country, Wisconsin medical doctor license, and Health Care Employers Assurances, F-43006). Immigration attorneys retain the original material. The documentation contains personal information such as name, location of employment, country of origin, and discipline specialty. Applications are reviewed by OPPA for content and data is entered into an Excel spreadsheet for trend reporting. Excel documents are kept on program's private computer drive and can be destroyed after submitting report to the Human Resources and Services Administration.

Records are confidential per the Immigration Nationality Act § 214(1).

Note: The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be reformatted and subject to review, to ensure the data is correctly entered. Upon verification of the quality of the data, the input record will be destroyed confidentially.

Dept #: /110/ Department Name: DPH - POLICY AND PRACTICE ALIGNMENT

| RDA # | RDA Title | Retention | Disposition | PII |
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RETENTION: EVENT (After report is submitted) + 1 month and destroy confidential

Dept #: /202/ Department Name: DCTS - WINNEBAGO MENTAL HEALTH INSTITUTE

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00758000.</u> | <u>LIBERTY REQUESTS</u> | <u>CR+3</u> | <u>DEST</u> | <u>Y</u> |
|------------------|-------------------------|-------------|-------------|----------|

Purpose: Liberty is any absence from the unit. Liberty is granted only upon request from the patient. It may be limited liberty or unescorted liberty. Examples of limited liberty-patient escorted by another patient, liberty limited to specific facility grounds areas, liberty granted for specific times, or general liberty rules are adjusted to meet the need.

Content: The liberty request form F-21195 has the request statement, the liberty rules, denial or approval and authorized signature. The official record is maintained by the institute and a copy is given to the patient.

Notes regarding the liberty are entered in the patient's medical record progress notes. The patient's medical record is covered by RDA 683A-H.

Record series contains content that is confidential per HIPAA, 45 C.F.R. pts. 160 and 164 and Wis. Stat. § 51.30.

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

Dept #: /205/ Department Name: DCTS - WISCONSIN RESOURCE CENTER

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00773000.</u> | <u>INMATE UNIT FILE</u> | <u>EVT+8</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: This record is required per Wis. Admin. Code § DHS 132.45. It records treatment information on the inmate while at the facility.

Content: The list of documents includes, but is not limited to:

- F-20095 Awareness Reports
- F-24783A Inmate Problem Rating Scale
- F-20106 On Unit Medication Record for Individual
- F-25675 Work Evaluation-Weekly Inmate
- F-25768 Room Condition Checklist
- F-204571 Progress Notes
- F-25955C Columbia-Suicide Severity Rating Scale
- F-20580 Assessment Rating Scale-Maladaptive Psychosocial
- F-20637 Daily Incentive Program
- F-21376 High Management Level Progression
- F-26053 Meal Refusal Documentation
- F-26066 Security Unit Placement

NOTE: Any copies of DOC documents in the record are destroyed when the file is closed. The DOC inmate record is covered under DOC RDA 72.

Access is protected per Wis. Stat. § 51.30.

RETENTION: EVENT (Inmate transfers, is released, or dies) + 8 years and destroy confidential

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| <u>00776000.</u> | <u>PATIENT/INMATE MAIL AND PROPERTY RECORDS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|--------------|-------------|----------|

Purpose: To document activity associated with the mail and property of the patient/inmate.

Content: The file includes, but is not limited to:

1. Original and intermediary inventories of property
2. Supply Requisition (F-24548A)
3. Property receipt/ disposition
4. Contraband Report/Property Notification
5. Disbursement Request (F-25511)
6. Property Inventory -Patient (F-25448A)

Dept #: /205/ Department Name: DCTS - WISCONSIN RESOURCE CENTER

RDA # RDA Title Retention Disposition PII

- 7. Catalog Order Request (F-20090)
- 8. Property in Vault (F-26160)
- 9. Inmate Handbooks/Coaxial Cable Agreement (F-26167B)
- 10. Patient Request (F-20443)
- 11. Various DOC forms

Some other mail and property documents are included in the patient/inmate record and covered by RDAs 435-774, 435- 1044, 435-683A.

Access is protected per Wis. Stat. § 51.30.

RETENTION: EVENT (Issue or action is closed/completed) + 7 years and destroy confidential

00993000. INMATE CANTEEN ORDER - ORIGINAL EVT+1 DEST Y

Purpose: The purpose of this record is to maintain an accurate account for each inmate weekly profit and nonprofit canteen order.

Content: The Canteen Order form F-26144B and other contracted vendor order forms have data items such as:

- 1. Inmate name, unit and ID number
- 2. Quantity and cost of items ordered

The profit orders for inmates are processed on vendor order sheets (bubblesheets) that are mailed to the vendor who then scans them into their system; they are then invoiced and put on the vendor canteen portal. The canteen manager will then take receipts and credit any missing items directly into the portal, then send to inmate accounts where they are paid and/or credited directly to and from the inmate's account, except the F-26144b that is keyed manually into the computer.

The nonprofit orders are posted directly to the unit budget accounts and if there are credits due to errors, those are paid back to the WRC budget account, not the inmates.

Definition: Closed—the order is considered closed after it is determined that the order is correct and items received are checked against items ordered, and the receipt with the order is signed.

Records contain content that is confidential per Wis. Stat. § 51.30(4)a.

RETENTION: EVENT (Closed - see definition) + 1 year and destroy confidential

01019000. RESIDENT SCHOOL SCHEDULE EVT+1 DEST Y

These records document the resident's class and program/group schedule and include, but are not limited to, resident name, ID number, date of birth and the last five term schedules (five terms per calendar year).

Relevant Confidential Authority: Wis. Stat. §§ 51.30(1)(b) and 54.30(4)(a)

RETENTION: EVENT (End of term) + 1 year and destroy confidential

Dept #: /216/ Department Name: DCTS - CENTRAL WISCONSIN CENTER

RDA # RDA Title Retention Disposition PII

00751000. GENETIC/PEDIGREE RECORD EVT+50 SHSW Y

To gather pertinent medical information used for genetic counseling, and to provide that counseling to families, especially siblings during their child bearing years.

Records include:

- 1. Selected medical records that document or substantiate genetic abnormalities.
- 2. Genetic Physical Examination: Physical signs and symptoms as anthropometric measurements, dermatoglyphics, and physician's description of condition.
- 3. Transcriptions of genetic counseling and communications between the family and Genetic Social Worker and/or Physician Geneticist.
- 4. Genetic counseling report generated by the Physician Geneticist and Genetic Social Worker, and contains such information as the name of the condition, prognosis, and risk of reoccurrence.
- 5. Pedigree: A graphic representation of intra-familial relationships. A pedigree is performed only if genetic counseling is anticipated. Not every client has a pedigree.

Retention Justification: 50-year retention is required due to the nature of the records and the value of those records to families and siblings during child-bearing years.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and

Dept #: /216/ Department Name: DCTS - CENTRAL WISCONSIN CENTER

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
|--------------|------------------|------------------|--------------------|------------|
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137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.
Records contain content that is confidential per Wis. Stat. § 51.30(4)a.

RETENTION: EVENT (Discharge/death) + 50 years and transfer to Wisconsin Historical Society

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|------------------|---------------------------|-------------|-------------|----------|
| <u>00945000.</u> | <u>ADVOCACY REFERRALS</u> | <u>CR+3</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---------------------------|-------------|-------------|----------|

Purpose: To maintain a record of people who apply to be an advocate and clients referred for an advocate.

Content: This record may include, but is not limited to, the following:

1. Referral information including names of clients and proposed advocates.
2. Letters to advocacy agency (Dane County)
3. Completed forms that contain client related data such as name, age, diagnosis, likes and dislikes.
4. Brochures-agency information.

This submittal is for Sunset/Renewal only.

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

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|------------------|--|--------------|-------------|----------|
| <u>00952000.</u> | <u>BEHAVIOR TREATMENT PROGRAM DATA</u> | <u>EVT+8</u> | <u>DEST</u> | <u>Y</u> |
|------------------|--|--------------|-------------|----------|

Purpose: To capture current behavior treatment program data to be used for reports, including trends and frequencies.

Content: The data includes, but is not limited to:

1. Client identifying information
2. Behavior target
3. Treatment interventions used
4. Consent dates
5. Psychotropic medications -name, doses

Event: Superseded or client is discharged, transferred, or deceased, whichever comes later.

Records series contains confidential content per Wis. Stat. § 51.30.

RETENTION: EVENT (Superseded or discharged, transferred, or deceased, whichever comes later) + 8 years and destroy confidential

Dept #: /219/ Department Name: DCTS - SOUTHERN WISCONSIN CENTER

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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| <u>00903000.</u> | <u>DAILY CARE DATA - PSYCHOLOGY</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
|------------------|-------------------------------------|-------------|-------------|----------|

Purpose: Daily data is documentation that is entered into the summary.

Content: Data is recorded daily to monitor the well being and progress of a client. Due to the volume of this data, the daily data is summarized periodically (weekly/monthly) and the summary is entered in the medical record. Daily data includes, but is not limited to, sleep observation, behavior, performance effort and well being notes. The medical record is covered by RDA 683D.

Records are confidential per Wisconsin Stat. § 51.30.

RETENTION: EVENT (Creation) + 2 years and destroy confidential

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|------------------|---|--------------|-------------|----------|
| <u>00905000.</u> | <u>BEHAVIOR TREATMENT TECHNIQUE COMMITTEE CHECKLIST/SCREENING</u> | <u>EVT+4</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|--------------|-------------|----------|

Purpose: Used to scrutinize behavior treatment plan to see if it meets criteria of SWC policy, also State and Federal regulations. Committee review of behavior programs is required by 42 Federal Code of Regulations § 483.430 through § 483.450.

Content: This committee uses several forms to accomplish their review. The review data includes, but is not limited to:

- 1) Client progress
- 2) Restraint Usage
- 3) Behavior Control Medications
- 4) Resident Rights Limitations
- 5) Behavior Program Content

Forms: F-23610, F-23528

| RDA # | RDA Title | Retention | Disposition | PII |
|-------|-----------|-----------|-------------|-----|
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Records are confidential per Wisconsin Stat. § 51.30.

RETENTION: EVENT (Superseded) + 4 years and destroy confidential

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|------------------|---|--------------|-------------|----------|
| <u>00909000.</u> | <u>APPLICATION FOR SHELTERED WORKSHOP/CLIENT WORKER CERTIFICATE</u> | <u>EVT+4</u> | <u>DEST</u> | <u>N</u> |
|------------------|---|--------------|-------------|----------|

This is an application for the authority to employ developmentally disabled workers.

This application is made to the U.S. Department of Labor that gives the institution the authority to:

1. Operate a sheltered workshop.
2. Employ developmentally disabled workers and pay them sub-minimal/minimal wages.

The regulations are in 29 CFR pt. 525. The data recorded includes, but is not limited to:

1. Number of clients
2. Types of work
3. Wages
4. Status of institution (government/private)
5. Primary disability group served

RETENTION: EVENT (Application expires) + 4 years and destroy

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|------------------|------------------------|-------------|-------------|----------|
| <u>00919000.</u> | <u>OUTPATIENT DATA</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
|------------------|------------------------|-------------|-------------|----------|

Purpose: Reference

Content: Medical Services maintains records on all current outpatient activities. These include, but are not limited to:

1. Requests for consultant appointments
2. Arrangement for seeing consultants
3. Information received upon return including copy of physician's report (original is placed in medical record).

Forms: F-23155A, F-23240, F-23155

Records are confidential per Wisconsin Stat. § 51.30.

RETENTION: EVENT (Creation) + 2 years and destroy confidential.

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|------------------|---|--------------|-------------|----------|
| <u>00920000.</u> | <u>OUTPATIENT APPOINTMENTS AND SURGERY APPOINTMENTS RECORDS</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|--------------|-------------|----------|

Purpose: This is a record maintained by the medical office secretary to assure that all appointments, consents and schedules are properly handled, and for social worker reference.

Content: The file may contain, but is not limited to:

- 1) Outpatient appointment letter with time and date of medical appointment(s).
- 2) Consents to surgery
- 3) Surgery schedule (letter with time and date of surgery)
- 4) Correspondence

Records are confidential per Wisconsin Stat. § 51.30.

RETENTION: EVENT (End of CY record created) + 1 year and destroy confidential

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|------------------|---|--------------|-------------|----------|
| <u>00922000.</u> | <u>CLIENT CLOTHING AND PERSONAL ITEMS INVENTORY</u> | <u>EVT+3</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|--------------|-------------|----------|

Purpose: The inventory is maintained so that questions of ownership can be explained/traced.

Content: The record includes, but is not limited to:

- 1) Client's name
- 2) Living unit
- 3) Dates clothing were purchased/received
- 4) Description of item
- 5) Funding for item
- 6) Comments

Forms: F-23654, F-24423, F-23154, and F-231153

Records are confidential per Wisconsin Stat. § 51.30.

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

RDA # RDA Title Retention Disposition PII

00772000. **PRE-ADMISSION RESIDENT RECORDS** **EVT+5** **DEST** **Y**

Purpose: This is a functional record; a collection of data on an individual who was considered for admission but not admitted.

Content: Includes, but is not limited to: patient history outlines, educational outlines, country letters of authorization, and pre-consultation.

Definition: Closed - This record is considered closed when admission is denied, withdrawn, or no activity for a year.

Retention: Increase in retention from two to five years because the program has found it helpful to have previous referral and historical information available so they don't spend a lot of time and energy requesting and reviewing documents to reach the same conclusion.

Records contain content that is confidential per Wis. Stat. § 51.30(4)a.

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

00902000. **PSYCHOLOGY TEST PROTOCOLS** **EVT+8** **DEST** **Y**

Purpose: The testing is part of the assessment process and assesses functioning, academic achievement level, and personality.

Content: Access t tests is protected by APA's (American Psychological Association) ethical code. Various tests at various levels are used to test in areas of IQ, achievement, and personality. Includes Wis. Behavior Rating Scale, F-26055 (CWC)

Definition: Closed - Client is discharged, transferred, or dies.

This submission is for sunset/renewal. Updated agency and division name.

RETENTION: EVENT (Closed/terminated/death) + 8 years and destroy confidential

00957000. **HEALTH CARE SERVICES PROVIDED DATA** **CR+0/1** **DEST** **Y**

Purpose: This is data used for completing claim forms.

Content: This data is collected on form F-23511, Physician's Service for Medicare-Part B at SWC and F-24357 Physician's Service Charge Information - Medicare at NWC, or a comparable form to simplify completing a claim form.

The date of service, type of service and the physician's name is recorded along with the client's name at each encounter. All information on this form is recorded in the medical record.

Definition: Closed - claim form completed.

Records are confidential per Wisconsin Stat. § 51.30.

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

00964000. **PLAN OF CARE - AUTOMATED** **CR+7** **DEST** **Y**

Purpose: To track care objectives and progress of clients.

Content: The database includes the following: client identifying information, assigned staff, specific objectives, implementers, and implementation periods.

Input: Preprinted forms are returned to sender as verification of entry and destroyed upon receipt of that verification - no further function, covered by RDA 435-00828:

1. Objective development
2. Levels of measurement
3. Client info changes
4. Staff info changes
5. Designer w/ delinquent objectives
6. Approaches library
7. Client objectives to be archived
8. Client objectives to be suspended

Output: Various report included in the medical record and covered by RDAs 435-00953 and 00953A: Levels of Measurement, Listing of Implementers, Designer with Delinquent Listing, Client Listing, Staff Listing, and Expired Target Date.

Definition: Closed - A case record is considered closed if a patient is discharged, transferred, or dies.

Submission for Sunset/Renewal and clarification; updated Dept, Division, and Subdivision.

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

Dept #: /220/ Department Name: DLTC - FACILITIES

RDA # RDA Title Retention Disposition PII

Dept #: /225/ Department Name: DCTS - FACILITIES

RDA # RDA Title Retention Disposition PII

00072A00. SCHOOL LUNCH PROGRAM REPORTS EVT+4 DEST N

These records document DHS participation in the USDA School Lunch and Breakfast Meal Reimbursement program and commodity distribution. Data from institutions in the Division of Care and Treatment Services is consolidated into reports and claims for reimbursement from the USDA for eligible meals. Monthly and yearly reports are required.

Reports submitted by institutions that indicate the number of meals served to eligible youth and adult population that are consolidated into a monthly claim for reimbursement for lunch, breakfast and snacks and submitted to the Wisconsin DP! under the USDA School Lunch and Breakfast Meal Reimbursement program. Other reports include, but are not limited to, Monthly Deposit F-80392 or F-80921 for check deposit to the Bureau of Fiscal Services (BFS): Eligibility Verification Summary; Civil Rights Compliance Self Evaluation; Federal October Data; On-Site Monitoring Documentation; Annual Financial Report; Annual Commodity Order and Monthly Distribution; Yearly Lunch and Breakfast Reimbursement Totals for Fiscal Year Reported to BFS.

RETENTION: EVENT (Date submitted to USDA) + 4 years and destroy

00084000. INSTITUTION MENUS AND PRODUCTION REPORTS EVT+3 DEST N

Production reports and menus for meals served in DHS institutions. These reports and menus are reviewed by a dietitian for compliance with the National School Lunch Program nutritional guidelines.

The three-year retention is required by the Department of Public Instruction that administers the USDA School Lunch & Breakfast programs for the State of Wisconsin.

RETENTION: EVENT (End of school year) + 3 years and destroy

00264000. EXCEPTIONAL NEEDS EDUCATION NEEDS (EEN) STUDENT FILES EVT+1 DEST Y

Purpose: To track the exceptional education needs (EEN) of students, and the supports/services provided to the student/family.

Content: EEN records are considered "behavioral" and may include:

1. EEN referral information
2. Parental consent for evaluation and placement
3. Individual multidisciplinary team members' evaluation reports
4. Multidisciplinary team finding and reports
5. EEN placement decision
6. Individual education plans
7. Other related previous and ongoing records
8. Any correspondence or other documents related to the student's involvement in EEN programming
9. Release authorizations required in s. 118.125(3), Wis. Stats., for behavioral records

Submissions for sunset/renewal and Dept/Division name changes and division number change.

RETENTION: EVENT (Student ceases to be enrolled) + 1 year and destroy confidential

00525000. FOOD SERVICE - MEALS SERVED REPORTS FIS+4 DEST N

Purpose: Reports are submitted to Food Management Coordinator to provide accountability for meals served, number eligible for Department of Public Instruction Surplus Commodity Program, requisitions for meals, free employee meals, used as data for reports submitted to the Federal School Lunch Program, etc.

Content: Routine meal reports identifying meals prepared, meals served to patients/clients and employees.

RETENTION: EVENT (Fiscal year) + 4 years and destroy

00555000. PHARMACY RECORDS: CONTROLLED (SCHEDULE II) DRUG USE / ORDERS CR+5 DEST N

Purpose: To record the use and order of controlled drug.

Content: The data fields include, but are not limited to: 1) name of drug, 2) class of drug, 3) date ordered, 4) amount ordered, 5) where used, and 6) how much is used.

RETENTION: EVENT (Creation) + 5 years and destroy

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
|------------------|---|------------------|--------------------|------------|
| <u>00557000.</u> | <u>PRESCRIPTIONS - GO HOME</u> | <u>CR+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: To supply the client with medication while outside the facility</p> <p>Content: A physician will write a prescription for a medication to be filled at the facility for use by the client while outside the facility. The pharmacy maintains this filled prescription file.</p> <p>Access to confidential information is protected under Wis. Stat. § 51.30.</p> <p>RETENTION: EVENT (Creation) + 7 years and destroy confidential</p> | | | |
| <u>00625000.</u> | <u>ADMISSIONS OR DISCHARGE LISTINGS</u> | <u>CR+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: This is the most current listing of clients/patients; listing may also serve as the ID number assignment index.</p> <p>Content: The basic information usually includes: 1. Name 2. Sex 3. Address 4. County 5. Date of Admission and/or Discharge</p> <p>This information is also recorded on other documents such as institution permanent records, case records, and Fiscal Services.</p> <p>RETENTION: EVENT (Creation) + 7 years and destroy confidential</p> | | | |
| <u>00664000.</u> | <u>DAILY CARE DATA THAT IS SUMMARIZED IN CASE RECORD</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: Data is recorded daily to monitor the well being and progress of a client/patient/inmate. Due to the volume of this data, the daily data is summarized periodically (weekly/monthly) and the summary is entered into the Medical Record.</p> <p>Content: Daily data recordings include, but are not limited to: 1. Sleep observation 2. Behavior Observation 3. Performance effort 4. Aides' general well-being notes</p> <p>Definition: Closed - The daily data is considered closed once the summary is entered into the case record.</p> <p>RETENTION: EVENT (Closed/terminated/death) + 1 year and destroy confidential</p> | | | |
| <u>00664A00.</u> | <u>DAILY CARE DATA THAT IS NOT SUMMARIZED IN CASE RECORD</u> | <u>EVT+8</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: Data is recorded daily to monitor the well being and progress of a client/patient/inmate. Daily data is documentation of the care and treatment of the individual.</p> <p>Content: Daily data recordings include, but are not limited to: 1. Sleep observation 2. Behavior Observation 3. Performance effort 4. Aides' general well-being notes</p> <p>Definition: Closed - The daily data is closed after the client/patient/inmate is transferred, discharged, or dies.</p> <p>RETENTION: EVENT (Closed/terminated/death) + 8 years and destroy confidential</p> | | | |
| <u>00665000.</u> | <u>UTILIZATION REVIEWS</u> | <u>EVT+5</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Purpose: To determine appropriate admissions and continued stays.</p> <p>Content: Utilization reviews are completed for each patient/client with some sort of insurance. These reviews bring together such information as admission type, insurance, working diagnosis, admission history, name of physician, review coordinator, discharge date and place.</p> <p>The medical information recorded for the review is also recorded in the medical record.</p> <p>Definition: Closed - Case is closed when a patient is discharged, dies or transfers.</p> <p>RETENTION: EVENT (Closed/terminated/death) + 5 years and destroy confidential</p> | | | |
| <u>00673000.</u> | <u>ABSENCE CALL IN REPORT</u> | <u>CR+3</u> | <u>DEST</u> | <u>N</u> |

Purpose: The purpose of this record is to document employee absence and serve as a vehicle for starting coverage procedures. The record may be used as supporting documentation for disciplinary action.

Content: Employees telephone to report shift absence. The absence report includes, but is not limited to, the employee's name and time call is received. The supervisor is notified of the absence.

RETENTION: EVENT (Creation) + 3 years and destroy

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| <u>00750A00.</u> | <u>CLIENT INCIDENT REPORTS</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|---------------------------------------|----------------------|--------------------|-----------------|

Purpose: To track incident reports and to generate special reports.

Content: Incident report data is written up on paper or entered into an electronic system (Access, Excel, SharePoint, etc.) and includes, but is not limited to, the following: client's name, name of person writing report, action taken, when the incident took place, where the incident took place, name of witness(es), type and location of injury, and medical care given.

Records contain content that is confidential per Wis. Stat. § 51.30(4)a.

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

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| <u>00759000.</u> | <u>MEDICAL TEST TRACINGS / GRAPHS (EEG, EKG, X-RAY)</u> | <u>EVT+8</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|--|---------------------|--------------------|-----------------|

Purpose: Medical tests ordered by physicians to assist with diagnosis and treatment, and/or document progress. Reports from these tests are filed in the medical record. The source documents (raw data) are not practical for inclusion in the medical record, but are used as documentation and reference.

Content: Examples include: electrocardiographs, electroencephalograms, and x-rays.

If any of these are deemed historically significant, they can be retained by including in the medical record and following the procedure outlined in RDA 435-00683H. In the case of minors, the documents are retained until they turn 19 years old, per Wis. Admin. Code § DHS 92.12.

Notes: The reports from these tests are part of the medical record and covered by the 435-00683 series. The tracings and x-ray films are not needed for the same duration as the complete medical record. This RDA does not include dental x-rays, which are part of the medical record and covered by the 435-00683 series.

The content of these records is confidential health information protected by Wisconsin and federal laws including Wis. Stat. § 146.82 and 45 CFR Parts 160 and 164.

RETENTION: EVENT (CR or patient becomes 19 years of age) + 8 years and destroy confidential

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| <u>00907000.</u> | <u>CASELOAD NOTES</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|------------------------------|---------------------|--------------------|-----------------|

Purpose: To record or collect additional information on patient/client caseload.

Content: Caseload notes may contain explanations, additional information to further explain or gives details of these items recorded in the official record as, but not limited to:

- Data upon which a decision is made
- Observations that may prove to be important
- Treatment problems
- Reminders
- References
- Contacts
- Feedback

Access to confidential information protected under Wis. Stat. § 51.30.

RETENTION: EVENT (Client is no longer part of workload) + 1 year and destroy confidential

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|-------------------------|--|---------------------|--------------------|-----------------|
| <u>00940A00.</u> | <u>PATIENT/CLIENT GRIEVANCE RECORDS STAGE 1 AND 2</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|--|---------------------|--------------------|-----------------|

Purpose: To document grievances filed by the facility's population and steps taken to satisfy the grievance.

Content: This series contains, but is not limited to, the following:

1. Original complaint
2. Appeals
3. Decisions at each stage of the grievance process
4. Any other information relevant to decision/issue involved

Dept #: /225/ Department Name: DCTS - FACILITIES

| RDA # | RDA Title | Retention | Disposition | PII |
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Note: A file of all grievances appealed to Stage 3 is maintained in the Clients Rights Office for 10 years.
See RDA 941.

Definition: Closed-when the grievance has exhausted all steps and/or a decision was reached at any stage and the complaint was not appealed to the next stage.

Records series contains confidential content per Wis. Stat. § 51.30.

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

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| <u>00949000.</u> | <u>PHARMACY RECORDS: INVENTORY/REQUISITIONS</u> | <u>CR+5</u> | <u>DEST</u> | <u>N</u> |
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Purpose: To record purchasing information on each drug used by the facility, inventory of drugs, and the dispensing of drugs.

Content: The inventory includes the name of drug, date ordered, amount ordered, and cost. The requisitions are required before dispensing any drug products and the entries are used to keep the inventory current.

Submittal is for sunset renewal and to combine two RDAs into one-949 and 979; updated Department and Division names, as well as Division number. There are three facilities with pharmacies.

RETENTION: EVENT (Creation) + 5 years and destroy

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| <u>01035000.</u> | <u>AUDIT/SURVEY/REVIEW RECORDS</u> | <u>EVT+3</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: The audits are made to document if the facility is operating within the state and federal regulations/guidelines that were developed to establish standards for the care, development, and protection of the client in an appropriate environment.

Content: The audit is, or may be, performed periodically by such organizations as the Department of Health Services, Centers for Medicare & Medicaid Services, The Joint Commission, Division of Quality Assurance, National Commission on Correctional Health Care, or the U.S. Department of Justice. The content of the record will probably include, but is not limited to, such documents as:

1. Audit Report with Plan of Correction
2. Documents supporting action taken to carry out Plan of Correction
3. Staffing level summaries
4. Correspondence

Audit, survey, review-for the purposes of this RDA, these terms are used interchangeably.

Definitions: Closed-This record is closed after the following action(s) take place:

1. All action under Plan of Correction is in place
2. Corrective action is documented
3. Corrective action has been accepted by auditing organization
4. Facility not found out of compliance during follow-up audit for items in the Plan of Correction.

Records may contain patient or client information that would be considered confidential per Wis. Stat. § 51.30 and HIPAA.

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

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| <u>01102000.</u> | <u>PHARMACY RECORDS: MEDICARE PART D</u> | <u>CR+10</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To record Medicare Part D activity per 42 CFR 423.05(d).

Content: Records include filled prescriptions, Medicare Part D billing statements, and patient care documentation (such as Pharmacist Drug Regimen Reviews).

The Centers for Medicare and Medicaid Services (CMS) require the 10 year retention-42 CFR 423.505(d).

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

Dept #: /401/ Department Name: DMS - BENEFITS MANAGEMENT

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00366000.</u> | <u>WISCONSIN CHRONIC DISEASE PROGRAM - MEMBER FILES</u> | <u>EVT+3</u> | <u>DEST</u> | <u>Y</u> |
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RDA # RDA Title Retention Disposition PII

Patients with a chronic disease such as renal disease, adult cystic fibrosis, or hemophilia eligible to receive benefits for covered services and supplies as defined in Wis. Stat. § 49.68.

Patient records include, but are not limited to, a completed application form, patient agreement, patient financial status or need statement, and patient medical need information.

Closed means death of a patient, no longer a Wisconsin resident, or termination of benefits for other reasons.

Records that contain personally identifiable information are covered under Wis. Stat. § 146.82 and/or Wis. Admin. Code ch. DHS 118 and § DHS 153.05(4).

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

00370000. **WISCONSIN MEDICAID STATE PLAN** **EVT+10** **SHSW** **N**

Purpose: To maintain an accurate, chronological file of the State Plan for Wisconsin's Medicaid program as a reference resource/research.

Content: Application to the federal government; submitting proposed amendments to the Medicaid State Plan. Correspondence between Wisconsin and the federal government regarding State Plan amendments (includes requests for additional information and Wisconsin's responses to these requests). A letter from the federal government approving or disapproving amendments or a letter from Wisconsin to the federal government withdrawing an amendment.

Note: In conjunction with state statutes, the Medicaid State Plan is the governing document for administration of the Medicaid program, and being able to trace its history is just as critical as being able to trace historical state statutory changes. The Division of Medicaid Services (DMS) needs to be able to review, trace, and justify all federal approvals since the inception of the Medicaid program to support program precedents and procedures, determine future policy, and support program audits and potential litigation. Reform of Medicaid is frequently on the agenda at both the state and federal level. Some reform proposals would represent fundamental changes to the program, which would require revisiting some of the materials related to the earliest State Plan amendments. Long-term retention is appropriate because of the importance these documents play in governing the program and because of potential future changes to the program that would require DMS to access documents through which the program created in the first place.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Plan is terminated) + 10 years and transfer to State Archives (WHS)

00392000. **PHARMACY SERVICES LOCK-IN PROGRAM** **EVT+9** **DEST** **Y**

Per Wis. Admin. Code § DHS 104.03, Primary provider ... If the department discovers that a recipient is abusing the program including abuse under Wis. Admin. Code § DHS 104.02(05), the department may require the recipient to designate, in any or all categories of health care provider, a primary health care provider of the recipient's choice, except when free choice is limited under Wis. Admin. Code § DHS 104.035.

Medicaid, BadgerCare Plus, and SeniorCare member case files consisting of enrollment procedures for "locking-in" selected members into the Pharmacy Services Lock in Program -including reports, correspondence with members, county agencies, physicians, vendors, and/or correspondence with Administrative Hearings, etc.

Records are confidential per Wis. Admin. Code § DHS 104.01(3).

RETENTION: EVENT (Non-Re-enrollment) + 9 years and destroy confidential

01104000. **MEDICAID PROGRAM: PAYMENTS FOR COVERED OUTPATIENT DRUGS UNDER** **P** **PERM** **Y**

Manufacturers are required to report quarterly utilization to drug rebate manufacturers (labelers) through quarterly invoices per 42 C.F.R. 447.510. The labelers then send DHS a rebate payment based on that utilization. After the labelers have reviewed the invoice, labelers may question utilization. When they do, it is called a dispute. DHS and labelers then work together to resolve the disputes. Per Centers for Medicare & Medicaid Services (CMS) dispute guidelines, there are no time limits on how far back labelers can dispute. Therefore, DHS needs to retain this information for the resolution of disputes for prior years.

Drug Rebate Invoice Utilization (payments and resolutions) records are stored with the vendor (Gainwell).

Records are confidential per § 1927(b)(3)(0) of the Social Security Act (the Act), and the Medicaid Drug Rebate Agreement requires that, notwithstanding any other provision of law, the Unit Rebate Amount (URA) information be kept confidential and shall not be disclosed by a state agency (or contractor therewith) in a form that discloses the identity of the manufacturer or any URAs by that manufacturer.

RETENTION: Permanent

01111000. **MEDICATION THERAPY MANAGEMENT (MTM) CASE MANAGEMENT SOFTWARE** **EVT+3** **DEST** **Y**

Purpose: ForwardHealth members may be eligible to receive assistance in managing their medications. ForwardHealth will approve

Dept #: /401/ Department Name: DMS - BENEFITS MANAGEMENT

RDA # RDA Title Retention Disposition PII

MTM case management software vendors that meet certain criteria to access ForwardHealth claim information. Approved software vendors will identify BadgerCare Plus, SeniorCare, and Wisconsin Medicaid members who are eligible for MTM services, submit claims for MTM services on behalf of a pharmacy, capture, store, and maintain clinical information, and exchange clinical information with ForwardHealth.

Content: Vendor Cover letter, MTM Case Management Software Requirements Attestation (F-00855), Trading Partner Profile (F-13043), Trading Partner Agreement and Acknowledgement of Terms and Participation (F-00446), business associate agreements, letters of recommendation, test file to identify eligible members (confidential information per Wis. Stat. § 49.81), test file to send data, and performance evaluations.

RETENTION: EVENT (Agreement End Date) + 3 years and destroy confidential

01112000. FORWARDHEALTH DRUG ADDITION REVIEW CR+0/6 DEST N

Purpose: A provider submits an inquiry to have a National Drug Code (NDC) reviewed for inclusion as a covered service in one of the ForwardHealth benefit plans. The majority of requests can be evaluated based on state and federal regulations and the provider is notified of the status of the inquiry with an explanation. If the inquiry is more involved, the clinical consultants and policy analyst are engaged to provide additional review and render a decision. When additional time is needed, an estimated timeline is provided. The requesting provider is notified of the final decision. If the NDC has been determined to be a covered service, the Medicaid Management Information System (MMIS) is updated and the provider is notified.

Content: Completed F-00020/Drug Addition Review Request form, responses, and any other related correspondence.

RETENTION: EVENT (Creation) + 6 months and destroy

01113000. FORWARDHEALTH DRUG PRICING REVIEW REQUEST FIS+4 DEST N

Purpose: Pharmacy providers have the opportunity to request a review of an existing State Maximum Allowable Cost (SMAC) rate by providing documentation of their acquisition cost or the National Drug Code (NDC). When a SMAC pricing review request is received, it is reviewed against specific thresholds, established by the state. The SMAC pricing review requests are evaluated by the fiscal agent. If the threshold is met, the fiscal agent sends the SMAC pricing review request to their subcontractor to assess the current SAC rate for changes. If the subcontractor determines a revision is appropriate, the recommended rate is submitted to the state for approval. Upon state approval, the recommended SMAC rate is implemented.

Content: Completed F-00030/ForwardHealth State Maximum Allowed Cost Drug Pricing Review Request and Provider Invoices. The form contains information on a drug price a pharmacy paid as an agreement with the manufacturer or wholesaler. Prices that are negotiated with a pharmacy derive independent economic value from being proprietary to the pharmacy (this meets the trade secrets statute below).

RETENTION: EVENT (Fiscal) + 4 years and destroy confidential

Dept #: /402/ Department Name: DMS - ENROLLMENT POLICY & SYSTEMS

RDA # RDA Title Retention Disposition PII

00383000. MEMBER ELIGIBILITY REPORTS CR+7 DEST Y

Purpose: The Recipient Data Maintenance-Reports provides a computer file of information that supports member eligibility and related data. This file supports member data research, claims processing, surveillance and utilization review activities, and management oversight for all programs (Medicaid, BadgerCare Plus, Wisconsin Well Woman, SeniorCare, Wisconsin Chronic Disease Program (WCDP), Caretaker Supplement (CTS) and SSI (Supplemental Security Income).

Content: Computer Generated reports containing the following: identification of all member eligibility including Medicare Part A/B Buy-In processing Part D enrollment and dual eligibility status.

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

00752A00. SSI/E PAYMENT CERTIFICATION FORMS EVT DEST Y

Purpose: The SSI-E payment (SSI Exceptional Expense Supplement) is provided to qualified individuals or couples in order to supplement their federal and state SSI benefits who meet certain financial and non-financial eligibility criteria.

Content: Paper copies of completed forms used to certify individuals for exceptional expense payments over and above the federal SSI (Supplemental Security Income) payments. These forms include (but are not limited to) the following or their equivalents: F-20817/Assessment Worksheet for Natural Residential Setting), F-20818/SSI-E Exceptional Expense Supplement/Natural Residential Setting, F-20819/Exceptional Expense Supplemental/Substitute Care Living Arrangements

The DHS Contractor will maintain all records.

Dept #: 1402/ Department Name: DMS - ENROLLMENT POLICY & SYSTEMS

RDA # RDA Title Retention Disposition PII

A Records Disposition Authorization is forthcoming for the scanned/validated electronic version.

RETENTION: EVENT (When scanned document is validated) and destroy confidential

01058000. SENIOR CARE PRESCRIPTION DRUG ASSISTANCE PROGRAM BENEFIT APP EVT+5 DEST Y

Purpose: To collect data from the original or renewed applications to determine applicant eligibility for benefits and collect other pertinent information to administer the program.

Content: This record series consists of the paper and scanned versions of valid Prescription Drug Assistance Program benefit application forms that have been submitted by Wisconsin residents who had their data captured electronically and entered into the automated system. See attached for full description of program as authorized in Wis. Stat. § 49.688.

Retention: Retain until a successful process for electronic capture of the application form has been completed--it has been imaged and the data file created.

Lifecycle Language: Paper records are scanned, verified, and destroyed one day after verification.

RETENTION: EVENT (Completion of electronic capture) + 5 years and destroy confidential

01071000. MEMBER ELIGIBILITY CASE FILE EVT+4 DEST Y

Purpose: To collect data from the original or renewal applications to determine applicant eligibility for benefits and collect other pertinent information to administer the following Wisconsin health care programs: Medicaid (Standard), Medicaid Purchase Plan, and Wisconsin Well Woman Medicaid, BadgerCare Plus (Adults with or without dependent children), FoodShare, SeniorCare, and Family Planning Only Services.

Content: This record series consists of the paper and scanned versions of valid application forms, all supplemental information provided by Wisconsin residents, and all other forms related to eligible status (including but not limited to Income Change Reports, Overpayment Notices, Employment and Training, Financial Records, Statement of Identity, etc.).

Retention: Retain paper versions until a successful process for electronic capture of records has been completed, imaged and inserted in the applicant / member data file in CARES (Client Assistance for Reemployment and Economic Support) or other databases. Electronic versions may be deleted 4 years from the date the last record was inserted in the applicant or member's file.

Lifecycle Language: Paper records are scanned, verified, and destroyed one day after verification.

RETENTION: EVENT (Successful insertion into CARES or other database) + 4 years and destroy confidential

01090000. QUALITY ASSURANCE CASE REVIEW EVT+3 DEST Y

Records are used to review local agency determinations of eligibility for benefit programs administered by DMS, such as Medicaid and FoodShare. Review of Medicaid eligibility determination is also known as Payment Error Rate Measurement (PERM) and Medicaid Eligibility Quality Control Review (MEQC).

Active and negative review, which includes, but is not limited to, worksheets, benefit determinations, verification items, disaster and special reviews as requested, information requested from a third party used to determine the accuracy of the eligibility determination.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. The paper records from the previous federal fiscal year are retained until the end of March for verification purposes and then destroyed confidentially.

Records are confidential under HIP AA per 45 C.F.R. § 164.502(a) and Wis. Stat. § 49.45(4).

RETENTION: EVENT (Federal or state review completed) + 3 years and destroy confidential

Dept #: 1403/ Department Name: OFFICE OF THE INSPECTOR GENERAL

RDA # RDA Title Retention Disposition PII

00404000. MEDICAL ASSISTANCE CASE INVESTIGATION MATERIAL EVT+7 DEST Y

Purpose: Wis. Stat. § 49.45(3)(g) "The secretary may authorize personnel to audit or investigate and report to the department on any matter involving violations or complaints alleging violations of statutes, regulations, or rules applicable to the medical assistance program and to perform such investigations or audits as are required to verify the actual provision of services or items available under the medical assistance program and the appropriateness and accuracy of claims for reimbursement submitted by providers

Dept #: /403/ Department Name: OFFICE OF THE INSPECTOR GENERAL

RDA # RDA Title Retention Disposition PII

participating in the program."

Content: Any materials used in case investigations , including, but not limited to: working papers, remittance and status reports, claims and other fiscal agent reference materials, fraud and abuse case files, Division of Medicaid Services reports, data runs, individual member's medical records, preliminary findings letters, Notice of Intent to Recover letters, audit reports, and requests for administrative hearings.

Lifecycle: The original paper applications may be imaged and subjected to review to ensure the images of these applications are electronically stored and the quality is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on-site for 30 days and then confidentially destroyed.

Restricted Access: Wis. Stat. § 49.45(4) INFORMATION RESTRICTED. The use or disclosure of any information concerning applicants and recipients of medical assistance not connected with the administration of this section is prohibited.

RETENTION: EVENT (After all issues are resolved) + 7 years and destroy confidential

01084000. FRAUD PREVENTION, INVESTIGATION AND THEIR BUDGETS EVT+8 DEST N

Purpose: Required by Wis. Stat. §§ 49.197 and Federal Regulations 20.901(1) to provide a tool for DHS to supervise county fraud programs that monitor public assistance programs administered by DHS. To assess what counties have established as a fraud program.

Content: Fraud Prevention and Investigation Program (FPIP) Plans - County/tribal annual FPIP plans submitted via hard copy or PDF to Central Office DHS that comply with state and federal fraud policies and with regulations and contractual requirements for the public assistance programs administered by DHS. FPIP is administered by DHS and based on the Shared Services memorandum of understanding between the Department of Workforce development (DWD) and DHS. This includes policies and procedures that provide direction and guidelines for the programs.

RETENTION: EVENT (Date received) + 8 years and destroy

01108000. FORWARD HEALTH PROVIDER CERTIFICATION RECORDS EVT+5 DEST Y

Purpose: To certified or re-certify health care providers that provide medical services for members of all ForwardHealth programs including (but not limited to) Medicaid BadgerCare Plus, and SeniorCare Prescription Drugs.

Contents: Provider Certification materials include (but not limited to) completed applications, Sanction letters, other correspondence related to certification, change of address, change of status or change in specialty. Records contain personally identifiable information such as SSN and Date of Birth.

Closed Definition: The date the contract with the provider has terminated. (Note: If provider was terminated and then recertified before the 5 years is up - then records will continue to be retained until the consecutive 5 years has passed.)

Providers are required to retain certification records for 5 years per DHS 105.02(4).

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

Dept #: /404/ Department Name: DMS - OPERATIONAL COORDINATION

RDA # RDA Title Retention Disposition PII

00386000. CLOSED CASUALTY RECOVERY CASES EVT+5 DEST Y

Legal and audit information used in completing medical assistance subrogation under Wis. Stat. § 49.89 by state staff and/or a contractor.

This includes, but is not limited to, records maintained of each person upon which subrogation action has taken place under Wis. Stat. § 49.89. Documents include subrogation notices to attorneys, medical providers, and/or members involved in recovery process. Also included are member paid claim reports indicating services and charges rendered to the member by the provider and date of service and documentation where recovery is made, including copies of checks.

Records are confidential per Wis. Stat. § 49.89.

RETENTION: EVENT (Date settled - collected or not) + 5 years and destroy confidential

00634000. SNAP (SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM) ISSUANCE RE CR+3 DEST Y

Per 7 C.F.R. § 274.S(b), "The State agency shall control all issuance documents which establish household eligibility while the documents are transferred and processed within the State agency. The State agency shall use numbers, batching, r

Dept #: /404/ Department Name: DMS - OPERATIONAL COORDINATION

| RDA # | RDA Title | Retention | Disposition | PII |
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inventory control logs, or similar controls from the point of initial receipt through the issuance and reconciliation process."

All daily FoodShare settlements containing reports documenting authorization, usage of benefits, and the running total amounts remaining that match the federal reserve from both CARES (information system used by DHS and counties) and 12 different vendor reports.

Record series is confidential as provided under Wis. Stat. § 49.53

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

Dept #: /405/ Department Name: DMS - FISCAL MANAGEMENT

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>01007000.</u> | <u>ESTATE RECOVERY PROGRAM (ERP) & WFCAP MEDICAL ASSISTANCE ELIG</u> | <u>FIS+3</u> | <u>DEST</u> | <u>Y</u> |
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Used as legal audit information in completing medical assistance estate recovery under Wis. Stat. §§ 49.496; 49.849(1)(d); 46.27(7g), 2017; 46.287(7); and 49.682 by state staff and/or the public and in completing Wisconsin Funeral and Cemetery Aids Program (WFCAP) medical assistance eligibility requirements under Wis. Stat. § 49.785 by state staff only.

Includes, but not limited to, records maintained on each person upon which an estate recovery or WFCAP action has taken place. Records include, but are not limited to, general correspondence, estate claims, voluntary payments, affidavit and lien documents, file notes, medical assistance payment printouts, medical assistance medical records, WFCAP applications, verification checklists, notices of decisions, and payment summaries.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

Confidential per 45 C.F.R. § 164.502(a).

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

Dept #: /406/ Department Name: DMS - DISABILITY DETERMINATION

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>01107000.</u> | <u>DISABILITY ELIGIBILITY DETERMINATION EXPENDITURE RECORDS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To determine eligibility for Title 2 (Social Security Act, Section 201), Title 16 (social Security Act, Section 1601), and Title 19 (Social Security Act, Section 1900) (Medical Assistance) disability applications.

Content: Invoices and vouchers for medical records, travel, consultative examinations, tele-dictation services; and budgetary records. All invoices and vouchers include personally identifiable information such as the claimant name, Social Security Number, and Date of Birth.

Records are confidential and access is protected: 5 U.S.C. Paragraph 552a.

RETENTION: EVENT (End of Federal Fiscal Year) + 7 years and destroy confidential

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| <u>01124000.</u> | <u>PRO CONSULTATIVE EXAMINATION VENDOR FILES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To manage the Professional Relations Officer (PRO) Consultative Examination (CE) vendor files.

Content: The licensing and credential file is similar to personnel files. The files contain the vendor's professional information such as Tax ID, licensing, professional qualifications, panel interest, and contract information.

Record is confidential per the Privacy Act of 1974.

RETENTION: EVENT (When vendor ceases to provide services) + 7 years and destroy confidential

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00935000.</u> | <u>CLIENT RIGHTS OFFICE PROGRAM FILES</u> | <u>CR+30</u> | <u>SHSW</u> | <u>Y</u> |
| | Purpose: Reference and history. | | | |
| | Content: This is a record of the Client Rights Office containing: | | | |
| | <ol style="list-style-type: none"> 1. The history of the program 2. Client Rights topics 3. Information pertaining to topics such as diagnosis, medications, treatment and training. 4. Information on each DHS facility. 5. Client Rights Issue consultations | | | |
| | Note: Client Rights Issue consultation files may contain confidential material, which will need to be purged prior to transfer to WHS. | | | |
| | Record series contains content that is confidential under Wis. Stat § 51.30. | | | |
| | RETENTION: EVENT (Creation) + 30 years and transfer to State Archives (WHS) | | | |
| <u>00940000.</u> | <u>CLIENT GRIEVANCE RECORDS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | Purpose: To maintain record of incidents and to track and check precedents. | | | |
| | Content: This series contains, but is not limited to, the following: | | | |
| | <ol style="list-style-type: none"> 1. Face Sheet - general information 2. Original complaint 3. Decisions at each stage of the grievance process 4. Any other information relevant to decision/issue involved | | | |
| | Records series contains confidential content per Wis. Stat. § 51.30. | | | |
| | RETENTION: EVENT (Grievance has been resolved) + 7 years and destroy confidential | | | |
| <u>00941000.</u> | <u>CLIENT GRIEVANCE DATA AND STATISTICS</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
| | Purpose: To maintain record of grievances, to check precedents, and to provide statistics regarding grievances over time. | | | |
| | Paper Content: These case records contain, but are not limited to, the following: | | | |
| | 1) Face Sheet - general information, 2) Original complaint, 3) Decisions at each stage of the grievance process, 4) Any other information relevant to the decision/issue involved. | | | |
| | Electronic Content: | | | |
| | 1) Case number, 2) Date Filed, 3) Client Name, 4) Client ID, 5) Class Action, 6) Unit, 7) Who Filed, 8) How Filed, 9) Violation, 10) Subcategory, 11) Stage 1 Information, 12) Stage 2 Information, 13) Stage 3 Information, 14) Stage 4 Information, 15) Facility, 16) Employee ID, 17) Complaint ID, 18) Multiple, 19) Systemic. | | | |
| | Record series contains content that is confidential under Wis. Stat. § 51.30. | | | |
| | RETENTION: EVENT (Grievance is resolved) + 10 years and destroy confidential | | | |
| <u>00942000.</u> | <u>CLIENT RIGHTS GRIEVANCE DECISIONS - DIGEST OF STAGE 3 & 4 PRECEDENTS</u> | <u>EVT+0/1</u> | <u>DEST</u> | <u>N</u> |
| | Purpose: Assist with locating Stage 3 and 4 decision precedents of grievances where the client appeals the initial decision. Stage 3 is decided by a client rights specialist and Stage 4 is decided by an administrator. | | | |
| | Content: The digest of decisions is a document available on the Internet or WorkWeb and organized by client right. Each right is clearly stated and under each right are summaries of the decisions made by the Client Rights Office that apply to the stated right. There are three separate digests, and they are updated at least annually: | | | |
| | <ol style="list-style-type: none"> 1. Community Grievances 2. Mental Health Institutes Grievances 3. Chapter 980 Patient Grievances | | | |
| | RETENTION: EVENT + 1 month (Superseded) and destroy | | | |
| <u>00943000.</u> | <u>CLIENT/COMMUNITY RIGHTS - GRIEVANCE DECISIONS FOR STAGES 3 AND 4</u> | <u>CR+40</u> | <u>DEST</u> | <u>N</u> |
| | Purpose: This record is used for reference and to check precedents of grievances that were appealed. | | | |
| | Content: This record is composed of Stage 3 and 4 decisions of client grievances from state-run mental health facilities and secure treatment centers. There are also Level III and IV decisions from community grievances. | | | |
| | In state-run facilities, Stage 3 is reviewed by a client rights specialist and Stage 4 is reviewed by the DCTS administrator . | | | |

Dept #: /500/ Department Name: DCTS - ADMINISTRATION

| RDA # | RDA Title | Retention | Disposition | PII |
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For community grievances, Level III is reviewed by the DCTS State Grievance Examiner and Level IV is reviewed by the DCTS Administrator.

This record is filed by case number to facilitate tracking of Client Rights Office and Administrator's decisions.

RETENTION: CREATION + 40 years and destroy

Dept #: /502/ Department Name: DCTS - COMMUNITY FORENSICS

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>01095000.</u> | <u>CONDITIONAL RELEASE AND OPENING AVENUES TO REENTRY SUCCESS (</u> | <u>EVT+20</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To maintain a record of Conditional Release and OARS clients .

Content: The client data recorded includes, but is not limited to:

Name of Individual
Guardian's Name
County of Residence
Diagnosis
Payee's Name
Social Security Number
Case Manager's Name
Ethnicity
Medication
Date of Birth
County of Placement Gender
Treatment Plan

Legal information: case number, DOC number, charges, judge 's name, commitment date, conditional release date, probation agent's name.

Records series contains confidential content per Wis. Stat. § 51.30

RETENTION: EVENT (Client discharge by the courts or death) + 20 years and destroy confidential

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| <u>01096000.</u> | <u>CONDITIONAL RELEASE/OPENING AVENUES REENTRY SUCCESS (OARS) (</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|--------------|-------------|----------|

Purpose: To provide documentation of the conditionally released and OARS clients' legal status, treatment plan, and progress in the program.

Content: The file contains the following info:

Legal: documents related to the client's commitment to DHS, other paperwork on criminal convictions, criminal complaint, placement order, petition for revocation of conditional release and/or supervision.

Treatment Plans: documents that identify the client's clinical needs, services to meet those needs, etc.

Progress Notes: documents that track how the client is progressing in meeting treatment plan goals.

Fiscal: documents that track individual contract costs.

Demographic information is covered under RDA 435-1095.

RETENTION: EVENT (Discharged by the courts, terminated, deceased) + 7 years and destroy confidential

Dept #: /520/ Department Name: DCTS - PREVENTION TREATMENT AND RECOVERY

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>01039000.</u> | <u>PREADMISSION SCREENING & ANNUAL RESIDENT REVIEW FILES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Dept #: /520/ Department Name: DCTS - PREVENTION TREATMENT AND RECOVERY

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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Purpose: Used to determine the need for nursing facility placement and specialized services for persons who have a developmental disability or serious mental illness. Pertinent historical and clinical information supplement the Level II screen. The files are also used in response to appeals of the determinations or to provide an audit trail.

Content: PASRR (Preadmission Screening and Annual Resident Review) Level II screen and other documents from the client's medical records, which have been provided by the client's attending physician, a hospital, nursing home, or county agency. Other documents may include, but are not limited to, mental status exam, psychiatric progress notes, medication orders, social history, and nursing progress notes.

Most clients are nursing home residents and each file contains a "point in time" assessment of the client's strengths and needs.

Note: Federal regulations no longer require that an annual review be completed, therefore the last determination made for a client remains in effect unless there is a significant change in condition.

Records series contains confidential content per Wis. Stat. § 51.30.

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

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| <u>01128000.</u> | <u>YOUTH CRISIS STABILIZATION FACILITIES (YCSF)</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: The purpose of the record series is to maintain documentation regarding the certification and operations of a YCSF.

Content: Request For Approval Youth Crisis Stabilization Facilities (YCSF) Certification Application: (F-02595): This form is intended to be used by all applicants to complete the first step to obtain certification for an YCSF from the Department of Health Services, Division of Care and Treatment Services (DHS, DCTS).

Youth Crisis Stabilization Facilities Extension of Stay Authorization: (F-02596): This form is intended to be used by YCSF providers seeking authorization for a youth's extended stay (over 30 days) in a YCSF. Authorization must be obtained from the Department of Health Services, Division of Care and Treatment Services.

Seclusion and Restraint Report: (F-01977): This is an online survey to report incidents of seclusion and restraint use in programs certified under Wis. Admin. Code ch. DHS 50, Youth Crisis Stabilization Facilities.

Additional material may be included under this RDA as the program continues to develop across the state.

RETENTION: EVENT (Facility decertification) + 7 years and destroy confidential

Dept #: /640/ Department Name: DQA -- DIVISION OF QUALITY ASSURANCE

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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| <u>01086000.</u> | <u>REPORTED RECORDS AND INVESTIGATION EVIDENCE</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
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Pursuant to Wis. Stat. § 146.40(4r), entities are required to, and any member of the public may, report to the Office of Caregiver Quality (OCQ) allegations of client abuse, neglect, or misappropriation (misconduct) of client property by entity employees or contractors.

Records include, but are not limited to, medical and financial records, multimedia, business records, and statements reported to OCQ or obtained during an investigation. Excluded from the records series are records created by OCQ to document an investigation, correspond with investigation subjects, or to document screening decisions, which are governed by RD As 1086B and 1086C.

Event: 1) When an investigation does not result in a finding of misconduct, the case closure is the date when the investigation subject is notified in writing that the case is closed and the report was not substantiated; 2) When an investigation does result in a finding of misconduct, the case closure is the date when the right to appeal the Department's finding has passed (within 30 days following notification), or the date of any Order from the Department of Administration's Division of Hearings and Appeals; 3) When the records are not used in a Department investigation, the case closure is the date that OCQ determines a report under Wis. Stat. § 146.40(4r) has been screened out.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Records series contains confidential content per 45 C.F.R. pts. 160 and 164 and Wis. Stat. § 146.82.

RETENTION: EVENT + 1 year and destroy confidential

Dept #: 641/ Department Name: DQA - CAREGIVER QUALITY

RDA # RDA Title Retention Disposition PII

01086B00. MISCONDUCT INVESTIGATIONS - NOT SUBSTANTIATED **EVT+10** **DEST** **Y**

Pursuant to Wis. Stat. § 146.4(4r), entities are required to, and any member of the public may report to the Office of Caregiver Quality (OCQ) allegations of client abuse, neglect, or misappropriation of client property by entity employees or contractors.

The records series consists of documents created by OCQ, such as investigative reports, correspondence, and forms used to document investigations where a finding of misconduct was not substantiated. Excluded from the records series are any materials reviewed as

evidence in the investigation, such as medical records, financial records, multimedia files, business and reporting records, and statements, which are governed by RDA 1086.

Event is the date of case closure. The date of case closure for investigations where misconduct was not substantiated is defined as the date when the investigation subject is notified in writing of the case outcome.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Records series contains confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. § 146.82.

RETENTION: EVENT + 10 years and destroy confidential

01086C00. MISCONDUCT INVESTIGATIONS - SUBSTANTIATED **EVT+50** **DEST** **Y**

Pursuant to Wis. Stat. § 146.40(4r), entities are required to, and any member of the public may, report to the Office of Caregiver Quality (OCQ) allegations of client abuse, neglect, or misappropriation of client property by entity employees or contractors. Records include, but are not limited to, materials created by OCQ such as investigative reports, correspondence, and forms used to document investigations where a finding of misconduct was substantiated, as well as any rebuttal statement or records related to any appeal or rehabilitation review. Excluded from this series are records reviewed or used as evidence in the investigation, which are governed by RDA 1086.

Event is date of case closure. The date of case closure for investigations of substantiated misconduct is the date when the right to appeal the department's finding has passed (within 30 days following notification), or the date of any Order from the Department of Administration's Division of Hearings and Appeals. A 50 year retention period was selected in order to comply with Wis. Admin Code ch. DHS 12.12, which states that individuals have the right to request a rehabilitation review.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Records series contains confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. § 146.82.

RETENTION: EVENT + 50 years and destroy confidential

01098000. ENTITY BACKGROUND CHECK APPLICATIONS **EVT+4** **DEST** **Y**

Purpose: Caregivers employed by providers regulated by the Division of Quality Assurance (DQA) are required to submit an application for a criminal background check to the DQA Office of Caregiver Quality (OCQ) every four years in accordance with Wis. Stat. § 50.065 and Wis. Admin. Code ch. DHS 12.

Content: Application information and materials are submitted electronically and include the Background Information Disclosure (BID) and BID Appendix forms, supporting information and documentation requested by OCQ staff, and results of the background checks.

Retention: OCQ staff process the applications and related materials and maintain them in OCQ electronic folders chronologically by year and alphabetically by last name of the caregiver. Records are maintained in a confidential manner for four years from the date of receipt.

Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; IRS Internal Revenue Code § 6103(d)(1); 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. ch. 19.

RETENTION: EVENT (Date of receipt) + 4 years and destroy confidential

Dept #: 642/ Department Name: DQA - BUREAU OF EDUCATION SERVICES & TECHNOLOGY

RDA # RDA Title Retention Disposition PII

| RDA # | RDA Title | Retention | Disposition | PII |
|---|---|--------------|-------------|----------|
| <u>00593000.</u> | <u>MEDICATION AIDE COURSE</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| <p>Purpose: These records document the state-approved medication aide courses conducted for unlicensed personnel working in Medicaid- certified facilities. Individuals who successfully complete this course comply with Wis. Admin. Code chs. DHS 131, 132, and 134, and 42 CFR 484 and may administer medications to residents in facilities for the developmentally disabled, skilled nursing facilities, nursing facilities, and hospices.</p> <p>Content: Course documents include, but are not limited to, instructor qualifications; course curricula, textbooks; final exam questions, quiz questions, practical questions, skill evaluation forms; notice of change forms and other correspondence.</p> <p>Relevant Confidentiality Authority: The Privacy Act of 1974; 19 CFR § 201.6.</p> <p>RETENTION: EVENT (Date course completed) + 7 years and destroy confidential</p> | | | | |
| <u>00719000.</u> | <u>HEALTH CARE FACILITY PATIENT FILES - RECEIVERSHIP FILES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| <p>Medical records for residents of health care facilities including, but not limited to, nursing homes, facilities for the developmentally disabled, or community based residential facilities that have closed due to bankruptcy or other problem situations.</p> <p>Records may include, but are not limited to, identification and summary sheets; admission medical evaluations; nurses notes; physician's orders concerning admission to the facility, medications, treatments, diets, rehabilitation services, limitations on activities, restraint orders, and discharge or transfer orders; physician progress notes; and laboratory test results.</p> <p>These records may contain confidential information as described in Wis. Stat. §146.82.</p> <p>The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.</p> <p>RETENTION: EVENT (Close of facility functions) + 7 years and destroy confidential</p> | | | | |
| <u>00762A00.</u> | <u>WISCONSIN NURSE AIDE - RECIPROCITY APPLICATIONS</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
| <p>Purpose: Application forms are submitted by nurse aides to the Division of Quality Assurance (DQA), Office of Caregiver Quality (OCQ) for (1) determination of eligibility to transfer from another state's nurse aide (NA) registry to the Wisconsin NA Registry, and (2) transfer to another state's registry as established under federal requirement 42 § CFR 483.156(b)(c) and Wis. Stat. § 146.40(2).</p> <p>The registry is established under federal requirements 42 § CFR 483.75 and Wis. Stat. § 146.40(2). Applicant placement on the registry is based on successful completion of an approved nurse aide instructional and testing program.</p> <p>Content: Documents include, but are not limited to, approved and denied out-of-state NA registry applications; documents verifying personally identifying information (name, SSN, birth date); supporting documentation; and, correspondence related to application determinations and other administrative functions.</p> <p>Retention: Approved and denied NA reciprocity applications and related materials are retained in a confidential manner within OCQ for one year after receipt. They are filed by date of the NA applicant's inclusion in the registry; and, within the inclusion date, by SSN.</p> <p>Approved applicants are added to the Wisconsin Nurse Aide Registry and retained per RDA 00762.</p> <p>Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. § 19.36(13).</p> <p>RETENTION: EVENT (Date of receipt) + 1 year and destroy confidential</p> | | | | |
| <u>00788000.</u> | <u>WISCONSIN NURSE AIDE AND FEEDING ASSISTANT TRAINING PROGRAMS</u> | <u>EVT+3</u> | <u>DEST</u> | <u>Y</u> |
| <p>This series consists of records that are created and collected to maintain a history of initial and ongoing business activities and state certification of nurse aide and/or feeding assistant instructional programs (Wis. Admin. Code ch. DHS 129). It includes providers that have been approved and those denied approval.</p> <p>Records include all application materials and renewal documents pertaining to certification including, but not limited to, applications, supporting documentation, policies and procedures, program statements, building (lab) information, financial/business records, licenses, annual reports, clinical organization agreements, all ongoing correspondence, waivers, and appeal documents.</p> <p>Records are received in both electronic and paper format. The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.</p> | | | | |

| RDA # | RDA Title | Retention | Disposition | PII |
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Relevant Confidential Authority: HIP AA; The Privacy Act of 1974; IRS Internal Revenue Code § 6103(d)(1); 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. § 19.36(13).

RETENTION: EVENT (When a facility closes or its application for certification is denied and appeal is no longer possible, its records are transferred to the appropriate closed facilities) + 3 years and destroy confidential

00788A00. **WISCONSIN NURSE AIDE AND FEEDING ASSISTANT TRAINING PROGRAMS** - **EVT+5** **DEST** **Y**

Purpose: Application forms and documents are submitted to the Division of Quality Assurance (DQA) by applicants seeking approval to be primary instructors with approved nurse aide or feeding assistant training programs.

Content: The application forms are DQA forms F-62610 and F-62692, as required under 42 CFR 483.152(a)(5)(i) and Wis. Admin. Code § DHS 129.06(1). Additional documents include, but are not limited to, training program primary instructor application forms, personal identification information, resumes, training certificates, valid health professional licensure, background check information, and correspondence related to the application.

Confidentiality: Records may include confidential information as described in Wis. Stat. § 146.82(1) (for example, SSNs and other personally identifiable information).

RETENTION: EVENT (Primary instructor becomes inactive) + 5 years and destroy confidential

00788D00. **DISCREPANT NURSE AIDE TRAINING PROGRAMS** **EVT+3** **DEST** **Y**

Purpose: During an on-site review or following a complaint survey, DHS will take possession of all records required to be maintained by a nurse aide training program when that program's training practices have been found to be unsatisfactory pursuant to 42 § CFR 483.151 and Wis. Admin. Code § DHS 129.07.

Content: Documents include, but are not limited to, personally identifying information of the program contact, owner, agency primary instructors and trainers associated with the training program; and all individual files of students trained by the program, including attendance records, examination results, health records, etc. These may also include background checks of the primary instructor and students.

Retention: Records will be maintained confidentially for a period of three years from the termination date of the specific nurse aide training program and stored alphabetically by year within OCQ. Retention reduced from 5 years as the records are not accessed or useful after 3 years

Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; IRS Internal Revenue Code § 6103(d)(1); 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. § 19.36(10);

RETENTION: EVENT (Date of program termination) + 3 years and destroy confidential

| RDA # | RDA Title | Retention | Disposition | PII |
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00595B00. **NF, SNF, FDD/ICF-IID-LICENSURE** **EVT+7** **DEST** **Y**

RDA created for records identified during agency review.

Purpose: This record series consists of records that have been created and collected for the purposes of state and federal licensure/certification of DQA-regulated providers (nursing facilities [NF], skilled nursing facilities [SNF], facilities serving people with developmental disabilities [FDD]/intermediate care facilities for individuals with intellectual disabilities [ICF- IIDs] per (1) 42 CFR for Medicare and Medicare/Medicaid dually funded providers, (2) Wis. Stat. chs. 50 and 51 and (3) Wis. Admin. Code chs. DHS 132 (nursing homes) and 134 (facilities for the developmentally disabled).

Content: Records contain confidential financial and personally identifiable information and other reports, including, but not limited to, licenses, Wisconsin license/certification applications and supporting materials; annual/biennial reports; Medicare/Medicaid certification applications and supporting documentation; contracts; agreements; waivers/variances; staffing changes; changes of ownership; legal appeals; policies and procedures; state monitoring and receivership records; correspondence; floor plans and building inspection reports, etc.

Retention: Records are maintained in provider files in the DQA Central Records Center until the date of facility closure. Upon closure, the licensure file is maintained for seven years in the State Records Center.

Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; IRS Internal Revenue Code § 6103(d)(1); 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo 11-39; Wis. Stat. § 19.36(13).

Dept #: 643/ Department Name: DQA - BUREAU OF NURSING HOME RESIDENT CARE

| RDA # | RDA Title | Retention | Disposition | PII |
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RETENTION: EVENT (Date of facility closure) + 7 years and destroy confidential

Dept #: 644/ Department Name: DQA - ASSISTED LIVING, BUREAU OF

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>0110000.</u> | <u>ASSISTED LIVING - LICENSURE</u> | <u>EVT+4</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: This series consists of records that are created and collected to maintain a history of initial and ongoing business activities and of state licensure, certification, and registration of assisted living providers per Wis. Stat. chs. 50 and 51. It includes providers that have been approved and those denied approval. Providers include community-based residential facilities (Wis. Admin. Code ch. DHS 83), licensed adult family homes (Wis. Admin. Code ch. DHS 88), certified/registered residential care apartment complexes (Wis. Admin. Code ch. DHS 89), and adult day care and family adult day care facilities.

Contents: Records include all application materials and renewal documents pertaining to state licensure, certification, and registration, including, but not limited to, applications, supporting documentation, policies and procedures, program statements, building information, financial/business records, licenses, biennial reports, bank statements, insurance documents, criminal background checks, home and community-based services documents, managed care organization agreements, all ongoing correspondence (e.g., notifications of staff changes, revisit fee notifications), waivers, and appeal documents and correspondence.

Maintenance/Retention: Records are received in both electronic and paper format. The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially. Records are maintained in alphabetical facility folders located in designated regional office folders in the DQA shared drive. When a facility closes or its application for licensure/certification/registration is denied and appeal is no longer possible, its records, are transferred to the appropriate Closed Facilities yearly electronic file and retained for four years.

Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; IRS Internal Revenue Code § 6103(d)(l); 19 C.F.R. § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. § 19.36(13).

RETENTION: EVENT (Closure, Request Denied, Appeal End) + 4 years and destroy confidential

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| <u>01100A00.</u> | <u>ASSISTED LIVING- ENFORCEMENT</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: Assisted living facility survey records are generated and collected to aid surveyors conducting surveys and investigations (initial, revisit, complaint, self-report, standard abbreviated, monitoring) and in the determination of citations and penalties. Providers include community-based residential facilities (Wis. Admin. Code ch. DHS 83), licensed adult family homes (Wis. Admin. Code ch. DHS 88), certified/registered residential care apartment complexes (Wis. Admin. Code ch. DHS 89), and adult day care and family adult day care facilities (DHS certification standards).

Content: Records include, but are not limited to, statements of deficiencies, identifier keys, and plans of correction; survey-related complaints, self-reports, and/or misconduct reports; facility documents (e.g., staff and client lists, staff background checks, interviews/statements, policies and procedures, menus; client medical records); videos, photographs, and audio recordings; building information; surveyor worksheets, checklists, and notes; internal, facility, complainant, and other relevant correspondence; penalty and appeal correspondence and related records.

The survey packet is the official survey record and is to contain all records relevant to that survey. (Except for self-reports, complaints, and misconduct reports, records located in other locations—e.g., systems, shared drives, personal drives, and personal emails are duplicate records and may not be considered substitutes for what should be in the survey packet.)

Maintenance/Retention: When the survey packets are complete, the records are sent to the DQA Central Records Center (CRC) where they are filed according to provider license number and year of survey. After seven years at the CRC, the yearly survey folder is destroyed confidentially. Retention is reduced from 10-7 years to comply with CMS rules.

Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; IRS Internal Revenue Code § 6103(d)(l); 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. § 19.36(13).

RETENTION: EVENT (Year-End Date of Survey Completion) + 7 years and destroy confidential

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| <u>01100B00.</u> | <u>ASSISTED LIVING-SELF-REPORTS AND COMPLAINTS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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RDA created for records identified during agency review.

Purpose: This series consists of records that are sent by facilities and others to notify the DQA Bureau of Assisted Living of incidents and concerns regarding the health, safety, and well-being of assisted living residents. Providers include community-based residential

Dept #: 644/ Department Name: DQA - ASSISTED LIVING, BUREAU OF

RDA # RDA Title Retention Disposition PII

facilities (Wis. Admin. Code ch. DHS 83), licensed adult family homes (Wis. Admin. Code ch. DHS 88), certified/registered residential care apartment complexes (Wis. Admin. Code ch. DHS 89), and adult day care and family adult day care facilities.

Contents: Records include ALL complaints, facility self-reports, and accompanying materials, which include, but are not limited to, photos and audio recordings; interviews/witness statements; medical records; police, coroner/ME reports; etc. Self-reports are typically received via email or fax. Complaints are submitted online, in writing, by phone, or in person and are transmitted to a form.

Maintenance: The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these records 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. Each complaint or self-report will be maintained by year in the appropriate "Self-Reports" or "Complaints" facility folder, located in the regional office folders in the DQA shared drive.

Relevant Confidentiality Authority: HIPAA; The Privacy Act of 1974; 19 CFR § 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39.

RETENTION: EVENT (Year End Date of Receipt) + 7 years and destroy confidential

Dept #: 645/ Department Name: DQA - HEALTH SERVICES, BUREAU OF

RDA # RDA Title Retention Disposition PII

01129000. ACUTE CARE SURVEY RECORDS EVT+7 DEST Y

Surveys (Inspections) of acute care health providers are completed for purposes of state licensing, federal Medicare certification, federal/state Medicaid certification and complaint/incident investigation. Statutory references for survey records: § 1864 of the Social Security Act; Hospital - 42 C.F.R. 482 and Wis. Admin. Code DHS ch. 124; Hospital EMTALA - 42 C.F.R. 489; Critical Access Hospitals - 42 C.F.R. 485; Home Health Agency - 42 C.F.R. 484 and Wis. Admin. Code DHS ch.133; Hospice - 42 C.F.R. 418 and Wis. Admin. Code DHS ch. 131; End Stage Renal Dialysis (ESRD) - 42 C.F.R. 494; Rural Health Clinic (RHC) - 42 C.F.R. 491; Ambulatory Surgical Centers ASC - 42 C.F.R. 416; and Outpatient Physical/Speech Therapy (OPTSP) – 42 C.F.R. 485.

Records may include, but are not limited to:

- ? Survey worksheets, checklists, and surveyor tools, CMS-required tools and forms
- ? Patient/client medical records and care plans
- ? Provider records: personnel and staffing; policies and procedures; contracts; advisory and governing board records, infection control surveillance, complaint/grievance logs, investigation reports, etc.
- ? Correspondence to and from providers, complainants and other interested parties
- ? Statement of Deficiency, plans of correction, forfeitures and other enforcement documents

Relevant Confidential Authority: HIPAA; The Privacy Act of 1974; 19 C.F.R. § 201.6; Wis. Stat. §§ 19.36(1) and (10), 146.82, CMS Survey & Certification Memo-11-39; CMS State Operations Manual §§ 3300-3320; 42 CFR Part 401, subpart B

RETENTION: EVENT(Date of Survey Completion Year-End) + 7 years and destroy confidential

01130000. PERSONAL CARE AGENCY (PCA) SURVEY RECORDS EVT+7 DEST Y

Surveys (Inspections) of Personal Care Agencies (PCA) are completed for purposes of state licensing, state Medicaid certification and complaint/incident investigation. Statutory References for survey records: Wis. Admin. Code DHS § 105.17 and Wis. Admin. Code DHS §107.112.

Records may include, but are not limited to:

- ? Survey worksheets, checklists, and surveyor tools
- ? Client medical records and care plans
- ? Provider records: personnel, staffing and training; policies and procedures; contracts; complaint/grievance logs, investigation reports; records of supervisory visits, etc.
- ? Correspondence to and from providers, complainants and other interested parties
- ? Statement of Deficiency, plan of correction and other enforcement documents if citations are issued

Relevant Confidential Authority: HIPAA; The Privacy Act of 1974; 19 C.F.R. § 201.6; Wis. Stat. §§ 19.36(1), (10) and (13), 146.82, CMS Survey & Certification Memo-11-39; CMS State Operations Manual §§ 3300-3320; 42 CFR Part 401, subpart B

RETENTION: EVENT (Date of Survey Completion Year-End) + 7 years and destroy confidential

01131000. BEHAVIORAL HEALTH - LICENSURE, CERTIFICATION, REGISTRATION EVT+7 DEST Y

This series consists of records that are created and collected to maintain a history of initial and ongoing business activities and of state licensure, certification, and registration of county programs, mental health treatment providers, substance use treatment providers, and

| RDA # | RDA Title | Retention | Disposition | PII |
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recovery residences per Wis. Stat. chs. 46, 50 and 51. It includes providers that have been approved and denied. Providers include county programs (Wis. Admin. Code chs. DHS 36 and 63), mental health service programs (Wis. Admin. Code chs. DHS 34, 35, 40, 50, and 61), substance use disorder treatment programs (Wis. Admin. Code ch. DHS 75), and substance use recovery residences (Wis. Stat. § 46.234).

Records include all application materials and renewal documents pertaining to state licensure, certification, and registration including, but not limited to, applications, supporting documentation, policies and procedures, program statements, building information, financial/business records, licenses, biennial reports, bank statements, insurance documents, criminal background checks and other employee information, shared crisis services, emergency service agreements, ongoing correspondence (staff changes, location changes, etc.), waivers, variances, denials and appeal documentation.

Records are received in both electronic and paper format. The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Relevant Confidential Authority: Wis. Stat. §§ 19.36(1), (10) and (13); 42 U.S.C. § 405(c)(2)(C)(viii)(I).

RETENTION: EVENT (Closure, Revocation, or Denial Date) + 7 years and destroy confidentially

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| <u>01132000.</u> | <u>BEHAVIORAL HEALTH - SELF-REPORTS AND COMPLAINTS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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This series consists of records that are sent by facilities and others to notify the DQA Behavioral Health Certification Section of incidents and concerns regarding the health, safety, and well-being of Wisconsin residents being served by the county community programs, mental health treatment programs and substance use disorder treatment programs. Providers include county programs (Wis. Admin. Code chs. DHS 36 and 63), mental health service programs (Wis. Admin. Code chs. DHS 34, 35, 40, 50, and 61), substance use disorder treatment programs (Wis. Admin. Code ch. DHS 75), and substance use recovery residences (Wis. Stat. § 46.234).

Records include all complaints, facility self-reports, and accompanying materials, which include, but are not limited to, photos, videos, and audio recordings; interviews/witness statements; medical records, police/coroner/medical examiner reports; etc. Self-reports may be forwarded from the Division of Care and Treatment services via email, from providers via email or fax, and complaints are submitted online, in writing, by phone, or in person.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these records 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.

Relevant Confidential Authority: HIPAA; The Privacy Act of 1974; 19 C.F.R. § 201.6; Wis. Stat. §§ 19.36(1) and (10), 146.82, CMS Survey & Certification Memo-11-39; CMS State Operations Manual §§ 3300-3320; 42 CFR Part 401, subpart B

RETENTION: EVENT (Date of Receipt Year-End) + 7 years and destroy confidentially

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| <u>01133000.</u> | <u>BEHAVIORAL HEALTH SURVEYS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Behavioral Health survey records are generated and collected in the program approval/denial process and investigations: initials, renewals, complaints, self-reports, death reports, and standard compliance monitoring. Compliance statement reports, plans of correction, and department actions are included. This series consists of compliance surveys conducted for the department's regulatory compliance for the initial, and ongoing business activities and of state licensure, certification, and registration of county programs, mental health treatment providers, and substance use treatment providers, and recovery residences per Wis. Stat. chs. 46, 50 and 51. It includes providers that have been approved and denied approval. Providers include county programs (Wis. Admin. Code chs. DHS 36 and 63), mental health service programs (Wis. Admin. Code chs. DHS 34, 35, 40, 50, and 61), substance use disorder treatment programs (Wis. Admin. Code ch. DHS 75), and substance use recovery residences (Wis. Stat. § 46.234).

Records include, but are not limited to, applications, statements of deficiencies, identifier keys, plans of correction, survey-related complaints, self-reports, misconduct reports, death reports, facility documents (e.g., staff and client lists, background checks, staff professional licensing/certification, interviews/statements, policies and procedures, client medical/mental health/substance use records, supporting documentation, videos, photographs, audio recordings, building information), surveyor worksheets, checklists, reports, notes from surveyor/facility/complainant appeal correspondence and related records, and other relevant correspondence.

The survey packet is the official survey record and is to contain all records relevant to that survey. Except for self-reports, complaints, death reports, misconduct reports, and records located in other areas – e.g., systems, shared drives, personal drives and personal emails are duplicate records and may not be considered substitutes for what should be in the survey packet.

Relevant Confidential Authority: HIPAA; The Privacy Act of 1974; 19 C.F.R. § 201.6; Wis. Stat. §§ 19.36(1) and (10), 146.82, CMS Survey & Certification Memo-11-39; CMS State Operations Manual §§ 3300-3320; 42 CFR Part 401, subpart B

RETENTION: EVENT (Date of Survey Completion Year-End) + 7 years and destroy confidentially

Dept #: 646/ Department Name: DQA - OFFICE OF PLAN REVIEW INSPECTION

RDA # RDA Title Retention Disposition PII

00592000. HEALTH CARE CONSTRUCTION EVT+1 DEST N

PURPOSE: Paper and electronic health care construction documents/materials are submitted to the Division of Quality Assurance for review per Wis. Admin. Code §§ DHS 83.63, DHS 124.30, DHS 131.37, DHS 132.812, and DHS 134.812.

CONTENT: These records include facility applications, pre-design agendas, checklists, plans, plan-related documents, specs/calculations, compliance statements, final inspection reports, and project-related correspondence. Facility types include hospital, community-based residential facility (CBRF), hospice, nursing home, and facility for the developmentally disabled (FDD). Also included are any structures attached to these facilities.

Project Expiration: If health care construction has not begun within one year of plan approval, the project expires and cannot be renewed; a new application, fees, and approval are required. At the one-year expiration date, electronic records are deleted and paper records are destroyed.

Project Completion: A health care construction project is considered complete upon receipt of a Compliance Statement or, in the case of a 6- to 8-bed community-based residential facility, upon receipt of the final inspection report. One year after project completion, electronic records are deleted and paper records are destroyed.

Note: This RDA has been amended to include CBRFs (previously reviewed by DSPS); to make it consistent with DHS processes and requirements by reducing the retention period from three years to one year; and, to remove unnecessary references to DSPS code and retention periods.

RETENTION: EVENT (Project expiration or completion) + 1 year and destroy

Dept #: 707/ Department Name: DMS -CHILDRENS SERVICES

RDA # RDA Title Retention Disposition PII

00105200. BIRTH TO 3 MEDIATION REQUESTS EVT+5 DEST Y

These records document mediation requests and dispute resolution regarding early intervention services for children with significant developmental delays or disabilities. The records include, but are not limited to, mediation requests and evaluation results.

NOTE: In 2008, this process was outsourced to Burns Mediation Services; however, the records generated continue to belong to Department of Health Services (OHS).

Relevant Confidential Authority: Wis. Admin. Code ch. OHS 90

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

00667000. KATIE BECKETT CASE FILES EVT+6 DEST Y

Purpose: Case files maintained on children with disabilities or serious medical conditions who, through the Katie Beckett Program, are eligible to receive Wisconsin Medicaid while continuing to live in their own homes rather than in a group or institutional setting.

Content: The individual files include, but are not limited to: case face sheets, medical and school records, parents' application (F-20582), worker notes/narratives, physician's plan of care, recertification work forms (F-20585 and F-20585C), Social Security Disability forms (SSA-831-U3 or its equivalent), and related correspondence and supporting documentation. The files can include both approved and denied cases. (The medical and school records included in this series are duplicates of the original material maintained by the child's physician and school.)

Closed: A case is considered closed when a child has been discontinued from the program. This can occur when a child no longer meets one or more of the eligibility criteria, or reaches their 19th birthday, or receives Medicaid through another source.

Lifecycle Language: Paper records are scanned and destroyed after verification.

Access to confidential information is protected under Wis. Stat. § 51.30

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

01126000. CHILDREN'S LONG-TERM SUPPORT (CLTS) WAIVER PROGRAM RECORD RE EVT+7 DEST Y

RDA is being submitted as these records were identified during an agency review.

Purpose: Annual record reviews of CLTS participant records for compliance with federal performance measures.

Content: Files contain completed CLTS record reviews reflecting county waiver agency's participant records for the purpose of verifying

Dept #: 707I Department Name: DMS -CHILDRENS SERVICES

| RDA # | RDA Title | Retention | Disposition | PII |
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state and federal program compliance. Files contain confidential personally identifiable and protected health information for participants with significant developmental, physical, and mental disabilities.

Records are confidential per the Health Insurance Portability and Accountability Act of 1996, including all pertinent regulations (45 C.F.R. pts. 160 and 164).

NOTE: Original vendor (The Management Group, 2012-2015) did reviews using a paper tool. Current vendor (Metastar, 2015-current) uses an electronic review tool.

RETENTION; EVENT (Date of record review completion) + 7 years and destroy confidential

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| <u>01127000.</u> | <u>CHILDREN'S LONG-TERM SUPPORT AND / OR MEDICAID WAIVER PROVIDER</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---|--------------|-------------|----------|

Purpose: Collection of CLTS (Children's Long-Term Support) waiver service provider registration data and documentation to ensure they meet qualifications to receive federally funded payment for services.

Content: CLTS and/or Medicaid Waiver Provider Agreements (paper or electronic), third-party administrator (TPA) provider data, CLTS waiver provider records, email communications regarding provider data, and paper files of provider data.

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

Dept #: 750I Department Name: DPH - AGING AND DISABILITY RESOURCES

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00550000.</u> | <u>WHITE HOUSE CONFERENCE ON AGING</u> | <u>EVT+10</u> | <u>SHSW</u> | <u>N</u> |
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Purpose: To record activities of conference and pre-conference events to develop the issues that are then forwarded to the White House Conference on Aging policy committee who develop the platform and resolutions that are discussed and voted on by conference delegates.

Content: Consists of materials including, but not limited to: correspondence, committee reports, workbooks for the delegates, reports from pre-White House District (local) and State Conferences on Aging and Post-conference reports.

Note: White House Conferences on Aging are held every 10 years, which is why the record is kept for 10 years.

RETENTION: EVENT (Date of last meeting for conference) + 10 years and transfer to State Archives (WHS)

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| <u>00551000.</u> | <u>AGING STATE PLANS</u> | <u>CR+6</u> | <u>SHSW</u> | <u>N</u> |
|------------------|--------------------------|-------------|-------------|----------|

Purpose: The Office on Aging is required to submit a State Plan on Aging to the Federal Administration on Aging for their approval.

Content: Consists of material on the planning and implementation of the State Plan on Aging. The contents include the information gathered through state plan public hearings and investigative research, all of the completed state plan information, and related material.

RETENTION: EVENT (Creation) + 6 years and transfer to State Archives (WHS)

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| <u>01137000.</u> | <u>PARTNER AGENCY REQUESTS FOR APPROVAL OF ALTERNATIVE STAFF E)</u> | <u>EVT+1</u> | <u>DEST</u> | <u>Y</u> |
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Records track the approval/denial of partner agency requests to hire staff who do not meet the education and/or experience required by Wis. Ad min. Code DHS § 10.23(5)(b)2a and b.

Records include, but are not limited to, forms submitted to DHS by partner agencies requesting approval of alternative staff experience and/or training and supplemental materials (e.g., job descriptions and resumes), DHS-issued notices of decision, and correspondence related to requests or decisions.

Any of these three events may initiate the start of the retention time period:

1. Department of Health Services (DHS) issues a letter denying a partner agency's request for approval.
2. A partner agency notifies DHS of a candidate's decision to withdraw from consideration or decline a job offer.
3. The partner agency notifies DHS of the separation of an employee who was hired based on DHS approval.

Records series contains confidential information er Wis. Stat. § 19.36(10).

RETENTION: EVENT + 1 year and destroy confidential

Dept #: 760/ Department Name: DMS - LONG TERM CARE FINANCING

RDA # RDA Title Retention Disposition PII

00440000. MEDICAID NURSING HOME AUDITED COST REPORTS EVT+4 DEST N

Audited information is used in development of revised nursing home rate formulas, audit recoveries, and settlements.

Audited Nursing Home Cost Reports for nursing homes who accept Wisconsin Medicaid.

RETENTION: EVENT (Date of final report)+ 4 years and destroy

Dept #: 821/ Department Name: DES - FISCAL SERVICES

RDA # RDA Title Retention Disposition PII

00014000. COLLECTIONS CASE FILES EVT+5 DEST Y

Files are used for control, recording activity and handling of individual collection accounts.

Case files on billing and collections activities include investigation reports, registration notice, financial information, hospital invoices, hospital output charges, worksheets, statement of charges, Medicare paperwork, insurance claims, prorating charts, receipts and other material relating to collection activities.

Definition: A closed file is defined as (1) a file that has a zero balance or (2) the balance due has been determined to be administratively unobtainable and has, therefore, been discharged causing a zero balance to occur.

Filing: Active files are filed alphabetically; closed files are filed by "closed" number. The list of closed numbers is covered by RDA 435-1092

Records are confidential per Wis. Stat. § 51.30(4)(a).

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

00016000. FACILITY CLIENT HEALTH INSURANCE ACCOUNTING RECORDS EVT+5 DEST Y

These are medical billing records used for billing and collections processes related to DHS's seven state-owned care and treatment facilities. The data is a combination of client data, insurance data, and financial data. This data is used to maintain ledgers of billable charges made to, and payments received from, Medicare, Medicaid1 third party insurers, and individuals. The data is also used to track revenue and accounts receivable information. Per Wis. Ad min. Code§ DHS 106.02(9)(c) providers are required to maintain the financial records of billings to Medicaid, Medicare, third party insurer1 or the recipient for all services provided to the recipient. Records are to be retained for a period of not less than five years from the date of payment per Wis. Admin. Code§ DHS 106.02(9)(d) and (e).

Input records include, but are not limited to, Medicare1 Medicaid1 and third party insurance payments and remittance documentation, responsible party payments with supporting documentation/ and Electronic Funds Transfer (EFT) payments documentation. Client data elements include but are not limited to, name, birthdate, diagnosis codes, address, facility, duration of stay, insurance, billable charges, payments received, and legal status. Output records include but are not limited to1 insurance claims, miscellaneous billings1 County Board bills1 client invoices1 dunning letters, Orders to Compel Payment, financial reports, and cost report schedules.

Records contain confidential information per45 C.F.R. pts.160 and 164 and Wis. Stat.§ 146.86.

RETENTION: EVENT (Closure (payment in full or write-off)) + 5 years and destroy confidential

00018000. COUNTY COST OF PROCEEDINGS FORMS AND REPORTS FIS+5 DEST Y

Purpose: To certify and transmit, from the County of Proceedings to the Subject's County of Legal Residence; costs incurred in civil mental health proceedings under Wis. Stat.§ 51.20(14), (18)(d).

Content: This record series consists of annual report forms F-807 51, Non-County Resident Proceedings Cost Certification; required documentation of court-ordered change of venue; summary reports for proof of subtotals and totals; and certified reports by county. The costs of proceedings are summarized by county and sent as certified reports of charges and credits to DOA for inclusion as special charge adjustments on the State Controller's Office Statement of Valuation of Taxable Property of the counties of the State of Wisconsin under Wis. Stat. § 70.60(1).

Confidentiality: Wis. Stat. § 51.30(4)(b)(2)

EVENT = Fiscal

Dept #: 1821/

Department Name: DES - FISCAL SERVICES

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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No Change

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| <u>01092000.</u> | <u>BILLING AND COLLECTION CLOSED CASE TRACKING FILES</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: To track closed collection cases and make retrieval easier and faster.

Content: After a case is closed, it is boxed and sent to the Record Center. The following case data is entered into the database. The data includes the patient's name (last, first, MI) Patient ID number (assigned when patient is admitted to institution) closed date, assigned box number.

The 10-year retention is required per Wis. Stat. § 893. 87.

Records are confidential per Wis. Stat. § 51.30.

RETENTION: EVENT (File has a zero balance) + 10 years and destroy confidential

Dept #: 1824/

Department Name: DES - FACILITIES, SAFETY, AND RISK MANAGEMENT

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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Dept #: /824/ Department Name: DES - FACILITIES, SAFETY, AND RISK MANAGEMENT

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00967000.</u> | <u>FOOD BUDGET RECORDS AND INPUT DOCUMENTS</u> | <u>EVT+3</u> | <u>DEST</u> | <u>N</u> |
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Purpose: To make meal cost projections for DHS institution food for biennial budget. Budget information is submitted to Office of Policy & Budget to combine with 'expected institution population figures' to produce the total dollars to be budgeted for food.

Hardware/Software: Work Station and Excel

Data Elements: Institution names, meal cost inflation factors and total employee meals and projected meal costs.

System Documentation: Documentation may not be destroyed as long as associated data files exist. Documentation must be retained as long as data files.

Retention: Retain for 3 years and destroy.

Amendment to reflect organizational change and revision to event.

RETENTION: EVENT (End of biennium) + 3 years and destroy

Dept #: /826/ Department Name: DES - BUREAU OF PROCUREMENT AND CONTRACTING

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00713000.</u> | <u>AFFIRMATIVE ACTION AND CIVIL RIGHTS COMPLIANCE LETTERS OF ASSURANCE</u> | <u>EVT+2</u> | <u>SHSW</u> | <u>N</u> |
|------------------|--|--------------|-------------|----------|

Purpose: Affirmative Action and Civil Rights Compliance (AA/CRC) Plans and Letter of Assurance (LOA) are submitted by county human and social services, public health departments, aging programs, community programs, private-for-profit and not-for-profit organizations, vendors, and grantees that contract with DHS to confirm compliance with federal and state civil rights equal opportunity in service delivery and employment laws. These plans are designed to cover a compliance period of four years. A new CRC Plan and LOA are required at the expiration of the four-year plan.

Content: Files contain Letters of Assurance, AA/CRC Plans, and official correspondence between recipients and sub-recipients of DHS acknowledging their equal opportunity in service delivery and employment programs.

RETENTION: EVENT (Expiration of plan and LOA) + 2 years and transfer to Wisconsin Historical Society

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| <u>00713A00.</u> | <u>AFFIRMATIVE ACTION AND CIVIL RIGHTS COMPLIANCE ON-SITE MONITORING</u> | <u>EVT+3</u> | <u>DEST</u> | <u>N</u> |
|------------------|--|--------------|-------------|----------|

Purpose: DHS is required to monitor and evaluate Affirmative Action and Civil Rights Compliance (AA/CRC) Plans and Letters of Assurance (LOA) submitted by county human and social services, public health departments, community programs, private-for-profit and not-for-profit organizations, vendors, and grantees that contract with DHS to confirm compliance with federal and state civil rights equal opportunity in service delivery and employment laws.

Content: The records consist of monitoring and evaluation reports, correspondence, and corrective action plans requested as a result of on-site monitoring visits conducted of funded recipients and sub-recipients receiving federal and/or state financial assistance through DHS to determine compliance with federal and DHS Affirmative Action and Civil Rights Compliance program.

RETENTION: EVENT (Resolution of all issues identified) + 3 years and destroy

Dept #: /834/ Department Name: OFFICE OF LEGAL COUNSEL

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00140000.</u> | <u>OLC CASE FILES</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
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Purpose: Records actions in which DRS Legal Counsel have involvement, including: (1) case files for appeals to State Personnel Board, Personnel Comm., DWD Equal Rights Div., Wis. Employment Relations Comm., and Federal Equal Employment Opportunities Comm.; (2) miscellaneous litigation in the court system that was served on DRS and referred to DOJ for representation; (3) claims against the state that may involve employees, companies and general public; (4) miscellaneous types of litigation in which the Office of Legal Counsel is involved; (5) actions taken by the Office of Legal Counsel to recover funds due the Department from issues that include, but are not limited to, salary and assistance benefit overpayments, hospital assessments, penalties and fees; and (6) nursing home matters.

| RDA # | RDA Title | Retention | Disposition | PII |
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Content: Includes but is not limited to, appeal letters and/or complaint forms, correspondence, pleadings, briefs, exhibits, interim and/or final decisions from all forums to which cases were appealed, recommendations, attorney work product, patient records, hospital records, interviews, depositions, violations, notices, investigations, and other relevant data used in the litigation process, responses, research notes, and claims.

Confidentiality: Records in these files may be classified confidential per Wis. Stat. §§ 19.35(1), 19.36(10), 19.85(1)(g), 49.45(4), and 146.82; Wis. Admin. Code § DRS 108.01; 7 CFR 272.1(c), 42 CFR 431.300-307 and 45 CFR 164; 7 UDC 2020(e); and privileged under Wis. Stat. § 905.03 and Seifert v. School District of Sheboygan Falls, 2007 W1 App 207.

Lifecycle Language: Paper records may be scanned and retained electronically. Upon verification of the quality and retention of the electronic images, the paper documents are confidentially destroyed.

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

| <u>00142000.</u> | <u>OLC GENERAL OFFICE FILES</u> | <u>CR+3</u> | <u>DEST</u> | <u>N</u> |
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Purpose: These are general office operations files, such as supply orders, mail logs, equipment expenditures, library materials, purchase requests, general office correspondence, and other materials related to the general office operations.

Content: These files may contain confidential information. The Office of Legal Counsel cites the following statutes:

Wis. Stat. § 905.03 regarding subject material believed to be covered under the lawyer-client privilege
 Wis. Stat. § 47.02(7)(a) regarding vocational rehabilitation services
 Wis. Stat. § 49.81 regarding records relating to public assistance recipients
 Wis. Stat. § 48.78 regarding records with the children's code
 Wis. Stat. § 51.30 regarding records with the mental health act
 Wis. Stat. § 146.82 regarding patient health care records

Lifecycle Language: Paper records may be scanned and retained electronically. Upon verification of the quality and retention of the electronic images, the paper documents are confidentially destroyed.

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

| RDA # | RDA Title | Retention | Disposition | PII |
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No Change. 5/98-Disposition Changed To Destroy.

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| <u>00146000.</u> | <u>LEGAL OPINION CORRESPONDENCE</u> | <u>CR+50</u> | <u>SHSW</u> | <u>Y</u> |
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Purpose: This record series records communication rendering legal advice or interpretation of statutes affecting the Department of Health Services.

Content: These files contain the correspondence regarding legal advice or an interpretation of statutes.

Confidentiality: These records are classified confidential per Wis. Stat. §§ 19.85(1)(g), 19.35(1) and 905.03.

Lifecycle Language: Paper records may be scanned and retained electronically. Upon verification of the quality and retention of the electronic images, the paper documents are confidentially destroyed.

Justification for 50 Year Retention: Even if the precise situation addressed in a particular opinion is not yet in active litigation when the opinion is written, litigation that will be affected by an opinion of this office can be filed long after the opinion is issued.

RETENTION: EVENT (Creation) + 50 years and transfer to State Archives (WHS)

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| <u>00147000.</u> | <u>OLC SUBJECT FILES - NON-APPOINTED STAFF</u> | <u>EVT+10</u> | <u>SHSW</u> | <u>Y</u> |
|------------------|--|---------------|-------------|----------|

Purpose: Personal files of OLC staff dealing with activities involving all department programs. Records include research notes, policy statements concerning pertinent programs, correspondence concerning legal advice, notes from staff meetings, correspondence concerning rules, and old forms. Records also include activity that is not specifically related to litigation.

Content: Some material in these files-name, research notes, correspondence, legal advice--may be considered confidential. The Office of Legal Counsel cites the following pertaining to confidential issues:

Wis. Stat. §§ 19.85(1)(g) and 19.35(1)

Wis. Stat. § 47.02(7)(a) regarding vocational rehabilitation services

Wis. Stat. § 49.81 regarding records relating to public assistance recipients

Wis. Stat. § 48.78 regarding records within the children's code

Wis. Stat. § 51.30 regarding records within the mental health act

Wis. Stat. § 146.82 regarding patient health care records

Wis. Stat. § 905.03 regarding subject material believed to be covered under the lawyer-client privilege

Wis. Stat. § 230.13 regarding certain personnel matters

Lifecycle Language: Paper records may be scanned and retained electronically. Upon verification of the quality and retention of the electronic images, the paper documents are confidentially destroyed.

RETENTION: EVENT (Closed/after employee leave DHA OLC) + 10 years and transfer to State Archives (WHS)

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| <u>01055000.</u> | <u>REHABILITATION REVIEW CASE FILES</u> | <u>EVT+20</u> | <u>DEST</u> | <u>Y</u> |
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This record series documents who has applied for a rehabilitation review through the Department of Health Services under Wis. Admin. Code ch. DHS 12, Caregiver Background Checks, and the decision made by the Department of Health Services. These records document who has applied for rehabilitation review through an agency/entity other than DHS and the decisions by those agencies/entities, which include, but are not limited to, school boards and tribal governing bodies.

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

1. Application for rehabilitation review and accompanying documentation
2. Correspondence to and from applicant
3. Appeal and accompanying documentation
4. Decisions

Reports to the Wisconsin Legislature under Wis. Stat. §§ 48.685(5g) and 50.065(5g) and general information relating to rehabilitation reviews under DHS 12 that are unrelated to specific review requests are covered under OLC's subject file, RDA 435-00147.

Records are received in both electronic and paper format. The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially

Relevant Confidential Authority: Wis. Stat. §§ 48.78, 51.30, 146.82, and 905.03; 45 CFR 164.502

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

Dept #: /840/ Department Name: OFFICE OF POLICY INITIATIVES AND BUDGET

RDA # RDA Title Retention Disposition PII

01106000. HUMAN SERVICES REPORTING SYSTEM / PROGRAM PARTICIPATION SYSTE FIS+4 DEST Y

PURPOSE: The data collected and maintained within the Human Services Reporting System (HSRS), Program Participation System (PPS), and Core Service Data (CSD) modules identifies demographic and statistical information from counties for those individuals receiving services. The data also identifies allocations back to the counties from the state. Grant funding to collect the data and maintain the systems was provided for by Social Services Block Grants (SSBG). Data has been collected and maintained within the systems per the requirements of the federal reporting requirements identified in 45CFR96 96.134.

CONTENT: Expense report and revenue report data, such as information collected on F-20942 and/or F-22540. Information collected from counties for several data modules regarding various target groups, pursuant to WI statute section 46.031(2g).

NOTE: This RDA does not include records identified, or retained per general schedule RDA ADM00013.

RETENTION: EVENT (Fiscal) + 4 years and destroy confidential

Dept #: /901/ Department Name: DPH - HEALTH INFORMATION AND POLICY - VITAL RECORDS

RDA # RDA Title Retention Disposition PII

00202B00. BIRTH REGISTRATION DATA P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original birth records and amendments to these records. The records are used by the general public for a variety of purposes including, but not limited to: proving citizenship, obtaining a driver's license, passport, social security card, proof for marriage, school, work, and benefits such as social service programs. Birth records are also used by various private businesses such as insurance and financial institutions and also by all forms of government. The electronic birth record has become the official record. Birth records are accessible from the Statewide Vital Records Information System (SVRIS) by both State and Local Vital Records Offices.

Birth information is entered by hospital staff directly into the SVRIS system from forms F-0S108 and F-05109. The information is reviewed and signed off by the Birth Certificate Designee in the hospital. Records are thoroughly reviewed by Vital Records staff, assigned a file date and a certificate number, and then becomes the permanent electronic file. Data includes, but is not limited to, child's name, date of birth, place of birth, parent information and medical birth record information.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5) and 69.24(1)(e).

RETENTION: Permanent

00712000. IMPOUNDED/ADOPTION RECORDS P PERM Y

The purpose of an impound file is to maintain the original birth certificate and the court ordered change document that required the State Registrar to create a new birth certificate for the same individual. Example: When a child is born, a birth certificate gets filed with Vital Records showing the child's name at the time of birth and the birth parent information. If Vital Records receives a copy order of adoption, a new birth certificate is created showing the child's name after the adoption and showing the new adoptive parent information. The original pre-adoptive birth certificate and the adoption court order are impounded, but permanently maintained. According to Statute, an impound file can only be released if Vital Records receives a court order mandating its release or if Vital Records receives a request from the Department of Children and Families Adoption Search Program. If a person has been adopted, the impound file provides the information to get the original identity of an adopted person and their parents and may include the name of the agency that processed the adoption. The agency that processed the adoption may maintain medical and/or genetic information that may be medically necessary for the adopted person or their family. In addition to adoption actions, there are other reasons why impound files are created.

1. If a man is listed on a birth certificate as a husband or father, and a court action determines that the man is not the father of the child, a court order can require Vital Records, to remove the man's information from the birth certificate. Vital Records must impound the original birth certificate, the paternity court order, and any related correspondence.
2. If a man is added to a birth certificate through a Voluntary Paternity Acknowledgement (VPA), and vital records receives a Request to Withdraw a Voluntary Paternity Acknowledgement within the legal requirements of the form, Vital Records must impound the original birth certificate and the Request to Withdraw a Voluntary Paternity Acknowledgement form.
3. If Vital Records receives a Court Order to Change the Name and Sex of an individual, Vital Records must impound the original birth certificate, the name and sex change court order, and any other related correspondence.
4. If Vital Records receives a Misrepresentation of a Fact on a Birth Certificate by an Informant court order, Vital Records must impound the original birth certificate, the misrepresentation court order, and any other related correspondence.
5. If a birth certificate was registered to a surrogate mother and Vital Records receives a surrogate court order form, Vital Records must then impound the original certificate, the surrogate order form, and any other related correspondence.
6. If Vital Records discovers that fraud activity related to any vital record is determined when registering or amending a Vital Record, the State Registrar can order a Vital Records to be impounded.

| RDA # | RDA Title | Retention | Disposition | PII |
|------------------|--|-------------|-------------|----------|
| | Content: Legal identifying information including, but not limited to, name on certificate, date of birth, place of birth, and parent information, court information, signatures and dates. | | | |
| | RETENTION: Permanent | | | |
| <u>00800000.</u> | <u>VITAL RECORDS CORRESPONDENCE</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
| | Purpose: Original vital records correspondence: Letters, requests for information, and vital records: birth, death, marriage, divorce certificates, and related correspondence. | | | |
| | Content: Correspondence pertaining to above requests is accompanied by a fee, and an identification slip links the correspondence to a computer file. The computer file contains all pertinent information on the handling of the request and its final disposition. | | | |
| | RETENTION: EVENT (Creation) + 2 years and destroy confidential | | | |
| <u>01072000.</u> | <u>BIRTH CERTIFICATES</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
| | Purpose: 1. According to Chapter 69 of the Wisconsin Statutes, the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records (birth, death, marriage and divorce certificates), their indexes, and their amendment/change documents including amendment (correction/change) documents, court orders, paternity actions and impound/adoption records. | | | |
| | 2. The purpose of vital records and these certificates is to record legal events of birth, death, marriage, and divorce actions that occur in Wisconsin. In addition, vital records are used to develop annual statistics and provide information for research and genealogical purposes. Retention of these certificates and amendment documents is necessary for various identity document establishment, and benefit eligibility purposes, including but not limited to, obtaining a driver's license, passport, SSN, citizenship, eligibility to marry, and benefit eligibility for various government and private agencies. | | | |
| | Content: Legal identifying information includes, but is not limited to, the name listed on certificate or amendment document, date of birth, place of birth, date registered, certificate number, and other items determined by the State Registrar. Confidential/medical information as determined by the State Registrar such as pregnancy, and delivery information. | | | |
| | RETENTION: Permanent | | | |
| <u>01073000.</u> | <u>DEATH CERTIFICATES</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
| | Purpose: 1. According to Chapter 69 of the Wisconsin Statutes, the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records (birth, death, marriage and divorce certificates), their indexes, and their amendment/change documents including amendment (correction/change) documents, court orders, paternity actions, and impound/adoption records. | | | |
| | 2. The purpose of vital records and these certificates is to record legal events of birth, death, marriage and divorce actions that occur in Wisconsin. In addition, vital records are used to develop annual statistics and provide information for research and genealogical purposes. Retention of these certificates and amendment documents is necessary for various identity document establishment, and benefit eligibility purposes, including but not limited to, obtaining a driver's license, passport, SSN, citizenship, eligibility to marry, and benefit eligibility for various government and private agencies. | | | |
| | Content: Legal identifying information including name listed on certificate or amendment document, date of death, place of death, date registered, certificate number, and other items determined by the State Registrar. Confidential/medical information as determined by the State Registrar such as cause of death information. | | | |
| | RETENTION: Permanent | | | |
| <u>01074000.</u> | <u>MARRIAGE CERTIFICATES</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
| | Purpose: 1. According to Chapter 69 of the Wisconsin Statutes, the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records (birth, death, marriage and divorce certificates), their indexes, and their amendment/change documents including amendment (correction/change) documents, court orders, paternity actions, and impound/adoption records. | | | |
| | 2. The purpose of vital records and these certificates is to record legal events of birth, death, marriage, and divorce actions that occur in Wisconsin. In addition, vital records are used to develop annual statistics and provide information for research and genealogical purposes. Retention of these certificates and amendment documents is necessary for various identity document establishment, and benefit eligibility purposes, including but not limited to, obtaining a driver's license, passport, SSN, citizenship, eligibility to marry, and benefit eligibility for various government and private agencies. | | | |
| | Content: Legal identifying information including name listed on certificate or amendment document, date of marriage, place of marriage, date registered, certificate number, and other items determined by the State Registrar. Confidential information as determined by the State Registrar such as previous marriage information (i.e., how many previous marriages, how the previous marriage ended). | | | |
| | RETENTION: Permanent | | | |

| RDA # | RDA Title | Retention | Disposition | PII |
|-------|-----------|-----------|-------------|-----|
|-------|-----------|-----------|-------------|-----|

01075000. **DIVORCE CERTIFICATES** **P** **PERM** **Y**

Purpose: 1. According to Chapter 69 of the Wisconsin Statutes, the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records (birth, death, marriage and divorce certificates), their indexes, and their amendment/change documents including amendment (correction/change) documents, court orders, paternity actions, and impound/adoption records.

2. The purpose of vital records and these certificates is to record legal events of birth, death, marriage and divorce actions that occur in Wisconsin. In addition, vital records are used to develop annual statistics and provide information for research and genealogical purposes. Retention of these certificates and amendment documents is necessary for various identity document establishment, and benefit eligibility purposes, including but not limited to, obtaining a driver's license, passport, SSN, citizenship, eligibility to marry, and benefit eligibility for various government and private agencies.

Content: Legal identifying information including name listed on certificate or amendment document, date of divorce, place of divorce, date registered, certificate number, and other items determined by the State Registrar. Confidential information as determined by the State Registrar such as number of children born within the marriage.

RETENTION: Permanent

01076000. **VITAL RECORD AMENDMENTS INCLUDING ADMINISTRATIVE AND COURT-ORDERED** **P** **PERM** **Y**

PURPOSE:

1. According to Wis. Stat. ch. 69, the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records (birth, death, marriage, divorce, declaration of domestic partnership and termination of domestic partnership certificates), their indexes, and their amendment/change documents including amendment (correction/change) documents, court orders, paternity actions, and impound/adoption records.

2. The purpose of an amendment is as follows: If information listed on a birth, death, marriage, divorce, declaration of domestic partnership or termination of domestic partnership certificate has been omitted, incorrect, or an applicant requests a change to a vital record, an administrative or court-ordered amendment can be filed in Vital Records to complete, correct or change the information. These amendment documents prove the authority for legally changing information on a vital record. Chapter 69 requires the amendment information to be documented on the vital record. These amendments have permanent retention along with the vital record that was changed.

CONTENT:

Legal identifying information provided on amendment document including name, date and place of birth, death, marriage, divorce, declaration of domestic partnership and termination of domestic partnership certificate. Depending on the type of vital record, other information to be amended includes, but is not limited to, parent or spouse information, parent's age, date of birth, place of birth, occupation, date of amendment, notary, or court certification information.

Records are confidential per Wis. Stat. § 69.20(2)(a).

Lifecycle Language: The Vital Records Office is in the process of converting to an electronic system. Per Wis. Stat. § 69.03(5), once the paper original of a vital record is transferred to electronic format or microfilm reproduction, the paper record can be destroyed. It is the intent of the Vital Records Office to convert all the paper records in this series.

RETENTION: Permanent

01077000. **PATERNITY DOCUMENTS** **P** **PERM** **Y**

PURPOSE: 1. According to Wis. Stat. ch. 69, the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records, their indexes, and their amendment/change documents including amendment (correction/change) documents, court orders, paternity actions, and impound/adoption records.

2. The purpose of paternity documents is to add, change, or remove father information on a birth certificate and § 69.15(3) allows for four types of paternity actions including (1) an administrative process referred to as either a Statement of Paternity (SOP) or Voluntary Paternity Acknowledgement (VPA), (2) a court-ordered paternity adjudication, (3) another type of administrative process called a Legitimation and (4) Request to Rescind father information if father information was added to a birth certificate as a result of a VPA. The following is brief description of these records. (1) If mother is not married between conception to birth of a child, the birth certificate must get filed in Vital Records with no father's information listed. Paternity information can be added to birth certificate if a SOP or VPA is filed. (2) Paternity information can be added, removed, or changed on a birth certificate by court order. (3) If the mother and biological father were not married at the time of birth, but married after the birth, a form called Acknowledgement of Marital Child (AMC) or a Legitimation can be filed in Vital Records and the husband information can be added to the birth certificate. (4) If a VPA has been filed in vital records, the parents have 60 days from the date the VPA is filed, or if the parent is under the age of 18, 60 days from the date they turn 18 to rescind the VPA and its information. If Vital Records receives a valid, acceptable rescission form, they will remove the father's information from the birth certificate.

CONTENT

Legal identifying information including, but not limited to, name on certificate, date of birth, place of birth, parents' information, parents' address and phone number, father's Social Security number, signatures, notary, and/or clerk of court information and dates.

Records are confidential per Wis. Stat. § 69.20(2)(a).

| RDA # | RDA Title | Retention | Disposition | PII |
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Lifecycle Language: The Vital Records Office is in the process of converting to an electronic system. Per Wis. Stat. § 69.03(5), once the paper original of a vital record is transferred to electronic format or microfilm reproduction, the paper record can be destroyed. It is the intent of the Vital Records Office to convert all the paper records in this series.

RETENTION: Permanent

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|------------------|--|----------|-------------|----------|
| <u>01079000.</u> | <u>DELAYED REGISTRATIONS OF BIRTH, DEATH, AND MARRIAGE</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
|------------------|--|----------|-------------|----------|

Purpose: 1. According to Chapter 69 of the Wisconsin Statutes, the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records (birth, death, marriage and divorce certificates), their indexes, and their amendment/change documents including amendment (correction/change) documents, court orders, paternity actions, and impound/adoption records.

2. The purpose of delayed registration document is to record a birth, death or marriage that didn't get filed with Vital Records within 365 days from the date of the event. If a certificate of birth, death or marriage is filed in Vital Records within 365 days from the date of event, a standard certificate is filed. In the event an event was not registered within the first 365 days of the event, a Delayed Registration document can be filed. For births, and administrative (established through evidence) or court ordered delayed birth registration can be filed. For death and marriage, only a court ordered delayed registration can be filed. A delayed registration is a summary document that lists the evidence used to support the facts that the event occurred in Wisconsin and the facts surrounding the event including, but not limited to, the name listed on the delayed registration, date of birth, death or marriage, parent and/or spouse information.

Content: Legal identifying information including, but not limited to, name listed on certificate, date and place of birth, death or marriage, parent and/or spouse information, date registered, certificate number, a list of the evidence information used to support filing the delayed registration document.

RETENTION: Permanent

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|------------------|--|----------|-------------|----------|
| <u>01109000.</u> | <u>DOMESTIC PARTNERSHIP CERTIFICATES - DECLARATIONS AND TERMINAT</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
|------------------|--|----------|-------------|----------|

PURPOSE:

1. According to State Statute, Chapter 69.03(5), the State Registrar is the record custodian for all vital records and is responsible for filing, registering, collecting and preserving all original vital records (birth, death, marriage, divorce, Declaration of Domestic Partnership and Termination of Domestic Partnership certificates), their indexes and their amendments/change documents.

2. The purpose of vital records and these certificates is to record legal events of birth, death, marriage, divorce, domestic partnership and termination of domestic partnership actions that occur in Wisconsin. In addition, vital records are used to develop annual statistics and provide information for research and genealogical purposes. Copies of these certificates are necessary for various identity document establishment and benefit eligibility purposes including but not limited to, obtaining a driver's license, passport, SSN, citizenship, eligibility to marry or enter into a domestic partnership, and benefit eligibility for various government and private agencies.

CONTENT:

Legal identifying information includes but is not limited to the names listed on the certificates, date of birth, place of birth, date registered, certificate number, and other items determined by the State Registrar.

RETENTION: Permanent