435-HEALTH SERVICES

Dept # *Department Name*

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

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

00297000. **CLIENT FILES** **EVT+7** **DEST** **Y**

Purpose: To record treatment and interactions with clients in a program.

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.

List of programs includes, but is not limited to:
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

Records series contains confidential content per the Health Insurance Portability and Accountability Act of 1996.

RETENTION: EVENT (Client no longer receiving services) + 7 years and destroy confidential

00626000. **MEDICARE BENEFITS EXPLANATION** **CR+0/6** **DEST** **Y**

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

00676000. **CLIENT / PATIENT ACCOUNTS** **CR+6** **DEST** **Y**

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

00683A00. CASE RECORDS - MENTAL HEALTH INSTITUTES **EVT+25** **DEST** **Y**

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

00683B00. CASE RECORD FACE SHEET OR EQUIVALENT **P** **PERM** **Y**

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

00683C00. CASE RECORDS - MENTAL HEALTH INSTITUTES, CORE TREATMENT **EVT+25** **SHSW** **Y**

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)

00683D00. CASE RECORDS - INTELLECTUALLY DISABLED ADULTS EVT+8 DEST Y

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

00683H00. CASE RECORDS - HISTORICAL EVT+50 SHSW Y

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)

00683J00. CASE RECORDS - INTELLECTUALLY DISABLED MINORS EVT+8 DEST Y

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

00978000. MEDICATION ERROR REPORTS EVT+5 DEST Y

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

01148000. LIKENESS RELEASE AUTHORIZATIONS EVT+3 DEST Y

Authorizations for the use of an individual's likeness in photographs, video, audio, interviews, and promotional material are gathered and utilized by communications and program staff across the agency.

Records include, but are not limited to, forms signed by individuals releasing rights and claims in connection with the use of their likeness by the agency.

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

RETENTION: EVENT (DATE FORM SIGNED) + 3 YEARS AND DESTROY CONFIDENTIAL

01149000. CONTROLLED CORRESPONDENCE TRACKING EVT+3 SHSW Y

Records in this series document the Department of Health Services' (DHS) response to constituent requests and concerns.

Records include, but are not limited to, constituent contact information, topic of correspondence, and DHS responses.

Event is date response is provided or request is abandoned or withdrawn.

RETENTION: EVENT +3 YEARS AND TRANSFER TO WHS

01150000. SHORT-TERM EVALUATION AND FEEDBACK RECORDS EVT+1 DEST Y

Offices and programs seek feedback from internal and external sources for continuous improvement of services for staff and the public.

Records include, but are not limited to, short-term evaluation and feedback forms, surveys, questionnaires, and correspondence.

Items related to official complaints or grievance processes should use ADMIN353 or the appropriate program RDAs. HR000190, HR000192, HR000182, HR000193, HR000195, and HR000205 should be used for items related to performance evaluations, employee records, exit interviews, supervisor feedback.

RETENTION: (EVENT (RECEIPT) + 1 YEAR AND DESTROY CONFIDENTIAL

01155000. HEALTH AND RESIDENTIAL CARE FACILITIES - LICENSURE, CERTIFICATION EVT+7 DEST Y

Records in this series document state and federal licensure and certification of programs and facilities that provide health, long-term care, mental health, and substance use services as regulated by the Division of Quality Assurance (DQA) or the Division of Medicaid

Services.

Records include, but are not limited to, applications and supporting documentation, licensure and certification information, renewal documentation, waivers, variances, appeals, Medicaid and Medicare certifications, service agreements, employee information, notification of staff and facility changes, change of ownership documentation, financial and other business information, and correspondence.

Event is date of license or certification termination, denial, or revocation, or appeal finalized.

Records may include confidential information per 45 C.F.R. pts. 160 and 164; Wis. Stat. §§ 146.82, 19.36(13), and 134.90; 26 U.S.C. pt. 6103; 19 C.F.R. pt. 201.6.

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL

01163000. HEALTH AND RESIDENTIAL CARE FACILITIES - COMPLAINTS AND SELF-REI EVT+7 DEST Y

Records in this series document complaints regarding programs and facilities that provide health, long-term care, mental health, and substance use services as regulated by the Division of Quality Assurance (DQA) and required and voluntary self-reports of incidents at those entities.

Records include, but are not limited to, complaint intakes, residents' rights complaint reports, 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.

Excluded from this series are complaint/self-report records included with DQA survey records, which are governed under an appropriate RDA. Additionally excluded from this series are caregiver misconduct reports investigated by the Office of Caregiver Quality (OCQ), which are governed by RDAs 1086, 1086B, and 1086C.

Records may include confidential information per 45 C.F.R. pts. 160 and 164; Wis. Stat. §§ 146.82 and 19.36(13); Centers for Medicare and Medicaid Services State Operations Manual §§ 3300-3320; and 42 C.F.R. pt. 401, subpart B.

RETENTION: EVENT (DATE OF RECEIPT YEAR-END) + 7 YEARS AND DESTROY CONFIDENTIAL

01164000. HEALTH AND RESIDENTIAL CARE FACILITIES - SURVEY RECORDS EVT+7 DEST Y

Records in this series document state and federal enforcement of health care regulations for programs and facilities that provide health, long-term care, mental health, and substance use services as regulated by the Division of Quality Assurance (DQA).

Records may include, but are not limited to: survey worksheets, checklists, and surveyor tools; patient/client medical records, treatment records and care plans; provider personnel and staffing records, policies, procedures, contracts, advisory and governing board records, infection control surveillance records, complaint/grievance logs, investigation reports; survey related correspondence; and forfeiture and other enforcement documents.

Excluded from this series are those records originating from surveys of federally certified providers that are defined in Centers for Medicare and Medicaid Services (CMS) State Operations Manual § 4801A as being part of the "Provider Certification File." Records falling into this category are governed by RDA 1165 consistent with CMS retention requirements.

Records may include confidential information per 45 C.F.R. pts. 160 and 164; Wis. Stat. §§ 146.82, 19.36(13), and 134.90; 26 U.S.C. pt. 6103; 19 C.F.R. pt. 201.6, and 42 C.F.R Part 401, subpart B.

RETENTION: EVENT (Date of survey completion year-end) + 7 years and destroy confidential

01165000. HEALTH AND RESIDENTIAL CARE FACILITIES - FEDERAL PROVIDER CERTIF EVT+4 DEST Y

Records in this series document certification actions which have been transmitted to the Centers for Medicare and Medicaid Services (CMS) as part of the Provider Certification File, as described in the CMS State Operations Manual (SOM) § 4800 and subject to retention requirements set out in SOM § 4801A.

Records include, but are not limited to, official certification and transmittal forms, survey report forms, utilization review plans, provider agreements, transfer agreements, plans of correction, civil rights compliance forms, intermediary designation and tie-in notices, certification letters, and various forms and correspondence used in the certification process with respect to individual facilities.

Either of these two events may initiate the start of the retention time period:

1. Superseded by a second certification action (i.e., retain the current and previous certification action materials)
2. Termination of participation in Medicare

RETENTION: EVENT + 4 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00235000.	RADIOLOGICAL EMERGENCY PREPAREDNESS AND RESPONSE	CR+8	SHSW	N

Per Wis. Stat. § 254.31-45, this records series is created through the 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 and can document those plans for the 8 year Federal Emergency Management Agency evaluation cycle (FEMA P-1028).

Records include, but are not limited to, memos, data, reports, and guidance materials, regarding radiological emergency response in Wisconsin. Includes information regarding Radiological Incident Response Plan, nuclear power plants, transportation of radioactive materials, and training of emergency response personnel per FEMA requirements.

RETENTION: EVENT (Creation) + 8 years and transfer to State Archives (WHS)

00236000.	RADIOLOGICAL ENVIRONMENTAL MONITORING	CR+5	DEST	N

Records in this series are created as part of environmental radiation monitoring of commercial nuclear power plants as required by Wis. Stat. § 254.41. Monitoring of nuclear power plants in Wisconsin and those out-of-state affecting the citizens of Wisconsin is done through direct and indirect ingestion and exposure pathways.

Records include, but are not limited to, environmental monitoring studies, maps, laboratory data, reports, and related materials.

Reports created from this data are governed by ADMIN351 or other applicable RDAs.

RETENTION: EVENT (Creation) + 5 years and destroy

00237000.	RADIOACTIVE MATERIALS LICENSING AND INVESTIGATION	EVT+5	DEST	Y

Regulatory authority over radioactive materials (excluding nuclear reactors and federal facilities) was transferred from the Nuclear Regulatory Commission to the state under formal agreement in 2003, including licensing and inspection of facilities using radioactive materials and complaints registered against those and unlicensed facilities.

Records include, but are not limited to, licenses, application materials, inspection reports and findings, violation notifications and corrections, financial assurance materials, Decommissioning records, complaints, and correspondence.

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.

Event: license termination; if an entity is not licensed then event is date of investigation closure.

RETENTION: EVENT + 5 YEARS and destroy confidential

00238000.	REGISTRATION OF RADIATION INSTALLATIONS WITH RADIATION GENERAT	EVT+5	DEST	N

Wis. Stat. § 254.35 and Wis. Admin Code § DHS 157.86 require radiation installations with radiation generating equipment in Wisconsin, that are not exempted or jurisdictionally excluded, to register with the Department of Health Services.

Records include, but are not limited to, registration applications, renewals, notifications of permits issued, and correspondence with applicants.

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 (Facility closure) + 5 years and destroy

00244000.	INSPECTIONS OF X-RAY INSTALLATIONS	EVT+0/1	DEST	N

Wis. Stat. § 254.34(1)(c)(2) and Wis. Admin. Code § DHS 157.89(1) require the inspection of x-ray device installations.

Records include, but are not limited to, inspection documentation and notes, inspection reports, and correspondence.

Event: Superseded by a second inspection (i.e., retain the current and previous inspection materials)

RETENTION: EVENT + 1 week and destroy

00245000.	SCHOOL ASBESTOS MANAGEMENT PLANS	EVT+3	DEST	N

The state Department of Health Services (DHS) is the governor-designated agency to which school districts, merged school districts, school buildings, private non-profit schools, and charter schools are required, under 40 C.F.R. pt. 763, Subpart E, to submit original asbestos management plans. The asbestos management plans provide confirmation of inspection for the presence of asbestos in

school buildings.

Records include, but are not limited to, school management plans, correspondence between DHS, the school district, and the asbestos management planner who prepared the plan related to any DHS review or approval of the plan.

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

RETENTION: EVENT (DATE PLAN APPROVED) + 3 years and destroy

01025A00. ASBESTOS AND LEAD PROGRAM - TRAINING, ACCREDITATION AND CERTIF EVT+50 DEST Y

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.

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

01025B00. ASBESTOS AND LEAD PROGRAM - ACTIVITY NOTIFICATIONS EVT+50 DEST Y

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

01025C00. ASBESTOS AND LEAD PROGRAM - ENFORCEMENT FILES EVT+50 DEST N

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

01028000. CHILDHOOD LEAD POISONING P PERM Y

In accordance with Wis. Stat. ch. 254 and Wis. Admin Code ch. DHS 163, childhood lead results are tracked over time and aggregate data is reported to the Center for Disease Control (CDC). The Department of Health Services (DHS) tracks children with elevated lead levels. The records are used for follow-up case management and property investigations.

Records include, but are not limited to, name, address, demographics, lab draw dates, blood lead test results and associated addresses, case management activities, deidentified aggregate data, lead hazard investigations and remediation materials.

Retention justification: Permanent retention is necessary for long term tracking of site hazard identification and remediation per 40 C.F.R. § 745 and 24 C.F.R § 35.

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: PERMANENT

01036000. SUPERFUND AND OTHER HAZARDOUS SUBSTANCE SITE HEALTH ASSESS EVT+10 DEST Y

The Department of Health Services (DHS) assesses sites of contamination, including Superfund Sites, across the state for conducting human health risk assessments. A Superfund Site is a hazardous waste site defined under the guidelines provided by 42 U.S.C. pt. 9604(i)(6)(A). Records must be kept for litigation, claim, negotiation, audit, cost recovery or other
actions involving Superfund sites as mandated by Agency for Toxic Substances and Disease Registry (ATSDR) Partnership to Promote Local Efforts to Reduce Environmental Exposure federal grant, including fiscal records for cost recovery purposes.

Records include, but are not limited to, 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 and fact sheets; timesheets, travel vouchers and related costs, invoices, calculations of indirect cost rates, contracts, work assignments, progress reports and other miscellaneous materials.

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

01115000. PORTABLE X-RAY DEVICE INSPECTIONS EVT+5 DEST N

42 C. F. R. pt. 486.110 requires inspection of portable x-ray devices and review of corresponding suppliers. The Department of Health Services conducts these inspections on behalf of the U.S. Department of Health and Human Services (HHS) Centers for Medicare and Medicaid Services (CMS).

Records include, but are not limited to, federal forms, inspection reports, and correspondence.

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 (Facility closure) + 5 years and destroy

01116000. RADIATION-SHIELDING PLAN APPLICATIONS EVT+5 DEST N

Per Wis. Admin. Code § DHS 157.81 radiation shielding plans must be submitted to the Department of Health Services for review and approval before equipment installations or modifications of installations are constructed.

Records include, but are not limited to, application materials, site plans, radiation-shielding data, and correspondence. Radiation-shielding plan applications will be governed by RDA 238 upon applicant registration.

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 (Application date) + 5 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
01117000.	MAMMOGRAPHY INSPECTIONS	EVT+5	DEST	N

This records series documents inspections of mammography equipment as required by 42 U. S. C. pt. 263b.

Records include, but are not limited to, inspection reports, correspondence, and corrections of noncompliance.

Records are confidential per 42 U. S. C. pt. 263b.

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

RDA #	RDA Title	Retention	Disposition	PII
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 recomme.ndations 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

RDA #	RDA Title	Retention	Disposition	PII
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

RDA #	RDA Title	Retention	Disposition	PII
01143000.	ENVIRONMENTAL AND OCCUPATIONAL HEALTH INVESTIGATIONS	EVT+10	DEST	Y

The records in this series document investigation activities related to monitoring environmental hazards and disease with suspected environmental etiology, including disease clusters and potential human exposures to harmful substances in water, air, soil, and other environmental media pursuant to Wis. Stat. §§ 250.04 (1)(3), 250.04 (3)(b)3, and 146.82.

Records may include, but are not limited, surveys, environmental epidemiology sample identification sheets, monthly health questionnaires, field investigation documentation, Wisconsin study consent materials, disease cluster intake materials and reports, case summaries including demographic details, disease diagnosis and statistics, and sampling data of
case subjects. This RDA does not apply to records governed by other RDAs related to radiological hazards, lead and asbestos, consumption of Great Lakes fish, and Superfund hazardous waste site health assessment. Data entered into Wisconsin Electronic Disease Surveillance System (WEDSS) is governed by RDA 453B.

RETENTION: EVENT (investigation completion) + 10 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
01154000.	BIOMONITORING STUDIES	EVT+30	DEST	Y

The records in this series document biomonitoring activities related to environmental hazards and disease with suspected environmental or occupational etiology, potential human exposures to harmful substances in water, air, soil, and other environmental media pursuant to Wis. Stat. §§ 250.04 (1)(3), 250.04 (3)(b)3, and 146.82.

Records may include, but are not limited to, surveys, environmental epidemiology sample identification sheets, health questionnaires, field investigation documentation, Wisconsin study consent materials, case summaries including demographic details, disease diagnosis and statistics, laboratory data results from environmental sampling, and laboratory data results from biospecimen sampling of case subjects. This RDA does not apply to biospecimens or records governed by other RDAs related to radiological hazards, lead and asbestos, consumption of Great Lakes fish, and Superfund hazardous waste site health assessment. Data entered into Wisconsin Electronic Disease Surveillance System (WEDSS) is governed by
RDA 453B.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (DATE STUDY COMPLETE) + 30 YEARS AND DESTROY CONFIDNTIAL

RDA #	RDA Title	Retention	Disposition	PII

01099A00. **FAMILY HEALTH SURVEY (FHS) ANNUAL AND REVISED DATA COMPILATION** **EVT+10** **SHSW** **N**

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

01099C00. **FAMILY HEALTH SURVEY (FHS) ANNUAL REPORTS FOR TRANSFER** **EVT+10** **SHSW** **N**

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

01166000. **ORGAN AND TISSUE DONOR DATA** **EVT+0/1** **DEST** **Y**

Records in this series reflect organ and tissue donor status for individuals within the Department of Transportation (DOT) driver records. This data is used to generate reports to support partner agency activities and outreach and public visibility.

Records include, but are not limited to, deidentified demographic information such as age, gender, and race, county of registration, donor status, and date of ID issuance, donor registration source.

RETENTION: EVENT (date of receipt from DOT) + 1 month and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

00164000. **FAMILY PLANNING PROGRAM** **CR+5** **SHSW** **N**

RDA #	RDA Title	Retention	Disposition	PII

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.

CONTENT: This record series includes correspondence, informational materials, materials on the development of legislation and rules, staff reports, policies, and other related material.

RETENTION: EVENT (Creation) + 5 years and transfer to Wisconsin Historical Society

00166000. CONGENITAL DISORDERS PROGRAM FIS+6 DEST N

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.

CONTENTS: Includes, but is not limited to, contacts, contractors' budgets, contractors' work plans, general correspondence, and programmatic information.

RETENTION: EVENT (End of fiscal year) + 6 years and destroy

00187000. WIC VENDOR FILES, WIC AND SENIOR FARMERS' MARKET NUTRITION PRO(EVT+4 DEST Y

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.

Records include, but are not limited:
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.

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.

RDA 187 does not pertain to Compliance Investigation files, which are subject to RDA 187A.

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. § 253.06

RETENTION: EVENT (Vendor Denied or Terminated) + 4 years and destroy confidential

00187A00. TERMINATED WIC (WOMEN, INFANTS AND CHILDREN) VENDOR AND INFAN EVT+4 DEST Y

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.

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.

DEFINITION: The record is closed after all sanction periods have been completed and full restitution has been paid, whichever occurs last.

RESTRICTED ACCESS: Per 7 C.F.R. § 246.26 (e), the information in these files is restricted.

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

RDA #	RDA Title	Retention	Disposition	PII
00576000.	INFANT DEATH CENTER OF WISCONSIN	FIS+10	SHSW	N

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)

RDA #	RDA Title	Retention	Disposition	PII
01042000.	PUBLIC HEALTH CONFIDENTIAL CANCER RECORDS - CANCER PREVENTIOI	FIS+15	DEST	Y

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

RDA #	RDA Title	Retention	Disposition	PII
01043000.	CLOSED WIC LOCAL AGENCY RECORDS	EVT+6	DEST	Y

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 ofWIC 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

RDA #	RDA Title	Retention	Disposition	PII
01125000.	J-1 VISA WAIVER APPLICATION MATERIAL	EVT+1	DEST	Y

Wisconsin participates in the Conrad 30 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 Department of Health Services is the designated state health agency to submit recommendations for these J-1 visa waivers to the U.S. Department of State.

Records include, but are not limited to, data sheet/bar code page for medical doctor, employment contract from clinic/hospital, documentation of J-1 status while a student, applicant physician assurances, attorney representation for medical doctor, I-94 departure record from originating country, Wisconsin medical doctor license, and health care employers assurances.

Event is date applications are submitted to U.S. Department of State.

Records series contains confidential content per 8 U.S.C pt. 1202.

RETENTION: EVENT + 1 year and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
01135000.	WIC AND FMNP PARTICIPANT RECORDS	EVT+6	DEST	Y

Pursuant to 7 C.F.R. § 246.25 each state agency shall maintain full and complete records concerning Women, Infants and Children

RDA #	RDA Title	Retention	Disposition	PII

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 timestamp1 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 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

RDA #	RDA Title	Retention	Disposition	PII
01144000.	VOLUNTEER HEALTH CARE PROGRAM (VHCP)	EVT+25	DEST	Y

The Volunteer Health Care Provider Program provides liability coverage for licensed health professionals who volunteer their services to provide outpatient care at free clinics.

Records include, but are not limited to, materials related to volunteer health care applicants for this statewide program such as completed applications, approval and denial letters, and Department of Safety and Professional Services (DSPS) information on licensure for each applicant.

Claims generated from this program are handled by the liability program and the files are covered under RISK0036.

RETENTION: EVENT (date application is approved / denied) + 6 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
01151000.	WIC IDENTITY, RESIDENCY, AND INCOME VERIFICATION	EVT+0/2	DEST	Y

This series is comprised of eligibility records for applicants in the Women, Infants, and Children (WIC) program. Necessary information from the record is documented by WIC staff in participant enrollment records and retained under RDA 1135.

Records include, but are not limited to, identity, residency, and income documents provided by applicants for certification and enrollment in the WIC program.

A short retention period is necessary due to the sensitive nature of information within the records.

RETENTION: EVENT (DATE INFORMATION VERIFIED FOR ACCURACY) +2 MONTHS AND DESTROY CONFIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
00226000.	EMS COMMUNICATION RECORDS	EVT+7	DEST	N

Records in this series assure compliance with mandates of Wisconsin Emergency Medical Services (EMS) Communication/ Telemetry Plan and Federal Communications Commission (FCC) regulations and are a source of reference.

Records include, but are not limited to 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 no longer valid) + 10 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
00228000.	EMR AND EMSP CERTIFICATION/LICENSES	EVT+20	DEST	Y

Requirements for certification as an Emergency Medical Responder (EMR) and licensing as an Emergency Medical Services Practitioner (EMSP) Technician are detailed in Wis. Stat. ch. 256 and Wis. Admin. Code ch. DHS 110.

Records include, but are not limited to, documents supporting eligibility for certification and or license, applications, copies of cardiopulmonary resuscitation (CPR) and/or advanced cardiac life support (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.

Records in this series contain confidential information that 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 per Wis. Stat. §§ 256.17(2) and 256.18(2).

RETENTION: EVENT (Date of license expiration) + 20 years and destroy confidential

00229000. EMS COMPLAINT FILES EVT+5 DEST Y

Complaints and any subsequent investigations conducted by the Office of Preparedness and Emergency Health Care (OPEHC) involving licensed emergency medical service providers (EMS), certified emergency medical responders (EMR), and licensed emergency medical services practitioners (EMSP) pursuant to Wis. Admin. Code ch. DHS 110.

Records include, but are not limited to, original complaints, requests for records, ambulance run reports, writtenstatements from witnesses, recorded interviews, medical records of patients, dispatch logs and/or dispatch audio recordings, investigative summaries, and administrative or disciplinary actions.

Official records of any administrative or disciplinary action that maybe imposed are retained under RDA 228 or RDA 231 as appropriate.

Records may contain confidential information per 45 C.F.R. pts. 160 and 164, and Wis. Stat. § 146.82.

Event is date the investigation has concluded, with or without administrative or disciplinary action, or complaint deemed out of scope for OPEHC investigation process.

RETENTION: EVENT + 5 years and destroy confidential

00231000. EMERGENCY MEDICAL SERVICE PROVIDER LICENSURE EVT+5 DEST Y

Requirements for licensing as an Emergency Medical Service (EMS) Provider or training center are detailed in Wis. Stat. ch. 256 and Wis. Admin. Code ch. DHS 110.

Records include, but are not limited to, documentation required for certification/license to operate as an emergency medical services provider, complete provider applications(s), current operational plan, current 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.

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 (Provider ceases to provide service) + 5 years and destroy CONFIDENTIALLY

01167000. AMBULANCE RUN DATA EVT+19 DEST Y

Wisconsin Ambulance Run Data System (WARDS) is the state repository that collects patient care records from emergency medical services (EMS) providers per Wis. Admin. Code DHS 110.34(8). In accordance with Wis. Stat. § 256.08(4) the records are used for many initiatives, including, but not limited to: quality assurance, state investigations, and research purposes.

Records include, but are not limited to, call dispositions, event times, response information, incident details, patient demographics, and medical care administered.

The data collected is dictated by the National Emergency Medical Services Information System (NEMSIS) data dictionary, which defines all data elements that can be collected. Occasionally the NEMSIS data dictionary undergoes major version changes (such as change from version 2.0 to 3.0, and so on), which requires the data we collect to change to adhere to the standardization.

Event: Data dictionary major version is sunset

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

RETENTION: EVENT + 19 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

00453B00. ACUTE AND COMMUNICABLE DISEASE REPORTING — P — PERM — Y

Pursuant to Wis. Stat. §§ 252.03, 252.05, 252.11, Wis. Admin. Code DHS § 145.15, and Wis. Admin. Code DHS ch. 145 Appendix A, communicable disease and other notifiable conditions are reported by physicians, laboratories, and local health departments. Records are used for required prevention activities and monitoring of population health status and are also used to develop morbidity trends and other statistical reporting. Records are regularly reported to the Centers for Disease Control and Prevention.

Records are contained in the WI Electronic Disease Surveillance System (WEDSS) and include, but are not limited to, name, address, date of birth, marital status, sex, race, ethnicity, medical diagnosis and status of the disease or condition (e.g., laboratory tests, diagnosis, and epidemiological data), relevant vaccination and treatment information, contact investigative information, name of person or agency reporting the case, attending physician, outbreak details including reports, summary data, and line lists.

As this is the official method of documentation for reportable diseases for Wisconsin, a permanent retention period is necessary to track chronic diseases and vaccine preventable conditions within the state, document treatments that are frequently required by employers and schools, of which the Department of Public Health is the major provider of this treatment.

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: Permanent

01114000. HIV CASE AND LABORATORY REPORTS — P — PERM — Y

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

Records include, but are not limited to, case reports including patient information and treatment information; laboratory reports including laboratory information, type of test, and results. All results and case data are entered in the Enhanced HIV/AIDS Reporting System (eHARS), a national CDC database. Some information is also entered into Wisconsin Electronic Disease Surveillance System (WEDSS), which is then governed by RDA 453B.

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.

Record series is confidential per 45 C.F.R. pts 160 and 164; Wis. Stat. § 146.38; Wis. Stat. § 252.15(3m).

Retention justification: Permanent retention period is necessary because HIV is a mandated reportable condition as a communicable disease, but does not have a cure like other communicable diseases. Because HIV is a chronic communicable condition it is important to
retain documentation of all HIV labs and treatments to ensure individuals with HIV are in good care.

RETENTION: PERMANENT

01134000. VACCINE STORAGE AND TRANSPORT RECORDS — EVT+3 — DEST — N

Records in this series support the distribution of vaccines as part of the Vaccines for Children and Vaccines for Adults programs, as well as state response to COVID-19 and Monkeypox viruses. Materials distributed through these programs are the vaccines and their related supplies.

Records include, but are not limited to, vaccine and supply orders and allocations, transport requests and logs, storage documentation including temperature logs, forms, and reports related to temperature excursions.

Event date is vaccine request date unless a temperature excursion is reported, in which case the date of temperature excursion reporting is used as the Event Date.

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 +3 years and destroy

01152000. WISCONSIN IMMUNIZATION REGISTRY (WIR) — P — PERM — Y

Records in this series comprise the Wisconsin Immunization Registry (WIR), a central repository for healthcare providers to ensure patients are appropriately immunized and to support provider immunization decisions.

Records include, but are not limited to, vaccine information, patient demographics, vaccinator organization information, signed vaccine

administration forms, and patient opt-out forms.

Retention justification: The records are needed for public health practice and future decision making. Moreover, the details contained in these records are needed to appropriately reflect and describe prior vaccination practices and to better understand and inform the evolution of public health decisions.

RETENTION: PERMANENET

01153000. VACCINE PROVIDER PROGRAMS FIS+5 DEST Y

In accordance with Wis. Stat. ch. 252, vaccine programs track vaccine provider data for adults, children, and immunization quality improvement projects. Vaccine providers report data to the Department of Health Services (DHS). Programs include Vaccines for Children and Vaccines for Adults.

Records include, but are not limited to, number and type of vaccines administered, provider enrollment and reenrollment forms, community outreach applications, site visit information, annual training confirmations, change of information forms, vaccine borrowing reports, vaccine management plans, immunization quality improvement statistics, reports, plans of action and follow-ups.

01070000. AIDS / HIV DRUG ASSISTANCE AND INSURANCE ASSISTANCE PROGRAM EVT+3/3 DEST Y

In accordance with Wis. Stat. § 49.686, this series provides documentation of eligibility for assistance from the AIDS/HIV Drug Assistance Program (ADAP). In addition, 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 per Wis. Stat. §§ 252.16 and 252.17 and Wis. Admin. Code § DHS 138.

Records include, but are not limited to, application forms, documentation of client financial status, documentation of client insurance status, application approval letters and termination letters. Program enrollment and certification information, and other routine correspondence related to program eligibility is maintained under RDA 1114.

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 (Certification period end) + 3 years and 3 months and destroy confidential

01139000. STATE HEALTH IMPROVEMENT PLAN EVT+10 SHSW N

This records series exists to develop state health plans, perform state health assessments, as dictated by Wis. Stat. § 250.07.

Records include, but are not limited to, reports and files of planning initiatives such as planning documentation, correspondence, presentation materials, meeting minutes, and qualitative data such as aggregate results of state assessments, state assessment methodologies, documentation of assessment needs, plans, and funding initiatives.

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 (date of plan end) + 10 years and transfer to WHS

Dept # /199/ Department Name DPH - DIVISION WIDE

RDA #	RDA Title	Retention	Disposition	PII
01066000.	GENERAL PUBLIC HEALTH AND PUBLIC HEALTH NURSING PRACTICE RECC	CR+7	DEST	N

Records document the Department of Health Services' work to assist and support the improvement and development of public health nursing practices as dictated by Wis. Stat. § 250.06, and general public health education.

Records include, but are not limited to, reports and files of initiatives such as planning and consultation documentation, planning meeting minutes, qualitative data for public health nursing initiatives, and public health nursing and education resources produced by the Department in relation to general public health and public health nursing practices.

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 (Creation) + 7 years and destroy

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

RDA #	RDA Title	Retention	Disposition	PII
00758000.	LIBERTY REQUESTS	CR+3	DEST	Y

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
00773000.	INMATE UNIT FILE	EVT+8	DEST	Y

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.

RDA #	RDA Title	Retention	Disposition	PII

Access is protected per Wis. Stat. § 51.30.

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

00776000. PATIENT/INMATE MAIL AND PROPERTY RECORDS EVT+7 DEST Y

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)
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

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

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.
Record s include:
1. Selected medical records that document or substantiate genetic abnormalities.
2. Genetic Physical Examination: Physica l signs and symptoms as anthropomeh·ic 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 eve1y 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 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

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

RDA #	RDA Title	Retention	Disposition	PII
00945000.	**ADVOCACY REFERRALS**	**CR+3**	**DEST**	**Y**

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

00952000.	**BEHAVIOR TREATMENT PROGRAM DATA**	**EVT+8**	**DEST**	**Y**

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**

RDA #	RDA Title	Retention	Disposition	PII
00903000.	**DAILY CARE DATA - PSYCHOLOGY**	**CR+2**	**DEST**	**Y**

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

00905000.	**BEHAVIOR TREATMENT TECHNIQUE COMMITTEE CHECKLIST/SCREENING S**	**EVT+4**	**DEST**	**Y**

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

Records are confidential per Wisconsin Stat. § 51.30.

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

00909000.	**APPLICATION FOR SHELTERED WORKSHOP/CLIENT WORKER CERTIFICATE**	**EVT+4**	**DEST**	**N**

RDA #	RDA Title	Retention	Disposition	PII

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

00919000. OUTPATIENT DATA CR+2 DEST Y

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.

00920000. OUTPATIENT APPOINTMENTS AND SURGERY APPOINTMENTS RECORDS EVT+1 DEST Y

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

RDA #	RDA Title	Retention	Disposition	PII

00084000. FACILITY MEAL DOCUMENTATION FIS+3 DEST Y

Records include, but are not limited to, production reports, menus, and tray tickets for meals served in direct care facilities. In some instances these reports and menus are reviewed by a dietitian for compliance with the National School Lunch Program nutritional guidelines.

Records series contains confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. §§ 146.82 and 51.30.

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

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

00485000. SCHOOL TRANSCRIPTS AND DIPLOMAS P PERM Y

This records series documents coursework and grades for students enrolled in educational programs through the Division of Care and Treatment Services facilities.

Records include, but are not limited to, school transcripts, high school equivalency diplomas (HSED), and general education development (GED) certificates.

Records in this series are confidential per 20 U.S.C. pt. 1232g; 34 C.F.R. pt. 99, and Wis. Stat. § 118.125(2).

Permanent retention period required per Wis. Admin. Code § SPS 407.03.

RETENTION: PERMANENT

00557000. PRESCRIPTIONS - GO HOME CR+7 DEST Y

Purpose: To supply the client with medication while outside the facility

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.

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

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

00664000. DAILY CARE DATA THAT IS SUMMARIZED IN CASE RECORD EVT+1 DEST Y

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.

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

Definition: Closed - The daily data is considered closed once the summary is entered into the case record.

RETENTION: EVENT (Closed/terminated/death) + 1 year and destroy confidential

00664A00. DAILY CARE DATA THAT IS NOT SUMMARIZED IN CASE RECORD EVT+8 DEST Y

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.

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

Definition: Closed - The daily data is closed after the client/patient/inmate is transferred, discharged, or dies.

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

00665000. UTILIZATION REVIEWS EVT+5 DEST Y

Purpose: To determine appropriate admissions and continued stays.

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.

The medical information recorded for the review is also recorded in the medical record.

Definition: Closed - Case is closed when a patient is discharged, dies or transfers.

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

00750A00. CLIENT INCIDENT REPORTS EVT+10 DEST Y

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

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

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

00772000. DENIED PRE-ADMISSION RECORDS EVT+3 DEST Y

Records in this series document individuals who were considered for admission but not admitted.

Records include, but are not limited to, patient history outlines, education outlines, county letters of authorization, medical clearance, clinical assessments, pre-consultation information, and legal documents related to potential admission.

Event is date admission is denied, withdrawn, or has no activity for a year.

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 and 51.30.

RETENTION: EVENT + 3 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

RDA #	RDA Title	Retention	Disposition	PII
00922000.	CLIENT / PATIENT PROPERTY RECORDS	EVT+6	DEST	Y

Records in this series document the personal property of clients/patients in the care of the Department of Health Services (DHS).

Records include, but are not limited to, client/patient information and identification numbers, descriptions of property/items, date received or purchased, names of individuals who brought or donated items to a facility, items leaving/removed and date done, purchase authorizations by guardians, and property marking requests.

Event is date superseded or client/patient discharge, transfer, or death.

Records series contains confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. §§ 146.82 and 51.30.

RETENTION: EVENT + 6 YEARS AND DESTROY CONFIDENTIAL

00949000.	MEDICATION / DRUG MANAGEMENT RECORDS	CR+5	DEST	N

Records document the purchasing, inventory, and distribution of non-controlled and controlled drugs and related medical supplies.

Records include, but are not limited to, drug information, ordering, inventory, and usage details.

RETENTION: EVENT (Creation) + 5 years and destroy

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

01035000.	AUDIT/SURVEY/REVIEW RECORDS	EVT+3	DEST	Y

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

RDA #	RDA Title	Retention	Disposition	PII
01156000.	CLIENT / PATIENT ACCOUNT FILES	FIS+6	DEST	Y

Records in this series document the financial accounts of clients/patients in the care of the Department of Health Services (DHS).

Records include, but are not limited to, client/patient information and identification numbers, property purchase information, money envelopes, receipt books, client account ledgers, cash logs and outing receipts, incoming funds (gift cards, checks, cash, money orders), withdrawal/disbursement requests, canteen orders, reconciliation reports/statements,
indigent patient fund records, workshop therapy participation reimbursements, patient savings account records, and unpaid obligation records.

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 and 51.30.

RETENTION: EVENT (END OF FISCAL YEAR) + 6 YEARS AND DESTROY CONFIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
01157000.	FOOD SAFETY AND SANITATION	CR+3	DEST	N

Records in this series are used to monitor and maintain food safety and sanitation.

Records include, but are not limited to, cleaning logs and inspections, equipment temperature logs, and food temperature logs.

RETENTION: EVENT (DATE OF CREATION) + 3 YEARS AND DESTROY

RDA #	RDA Title	Retention	Disposition	PII
01158000.	FACILITY ACTIVITY LOGBOOKS	EVT+3	DEST	Y

Logbooks are used to document events or shift activity occurring in a unit during every shift. Information is used by staff working the subsequent shift to review occurrences from the previous shift.

Records include, but are not limited to, event details, individuals present in units, client/patient movement and census details.

Records series contains confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. §§ 146.82 and 51.30.

RETENTION: EVENT (LAST ENTRY IN LOG BOOK) +3 YEARS AND DESTROY CONFIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
01159000.	FACILITY PROGRAM FILES	CR+3	DEST	Y

Records in this series are used for the organization and operation of programming and activities within the Division of Care and Treatment Services facilities.

Records include, but are not limited to, program and activity details, planning documents, sign-up and scheduling sheets, attendance lists, calendars, evaluations and assessments, and participant protocols and agreements.

Records series contains confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. §§ 146.82 and 51.30.

RETENTION: EVENT (DATE OF CREATION) + 3 YEARS AND DESTROY CONFIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
01161000.	CLIENT / PATIENT LEGAL FILES	EVT+50	DEST	Y

Records in this series document the legal materials of clients/patients in the care of the Department of Health Services (DHS).

Records include, but are not limited to, court orders, letters to the court, police reports, orders to treat, consent forms, guardianship documents, photo/likeness refusals, detainers, contact screenings.

A long-term retention period is necessary to maintain necessary files in case a patient/client is readmitted.

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 and 51.30.

RETENTION: EVENT (Date of discharge, transfer, or death) + 50 YEARS AND DESTROY CONFIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
01162000.	STUDENT RECORDS	EVT+6	DEST	Y

Files are maintained to document the activity of each student enrolled in educational courses through the Division ofCare and Treatment Services facilities.

Records include, but are not limited to, admission education questionnaires, computer/lab agreements, Test of Adult Basic Education (TABE) scores, release authorizations, course checklists, items required for completion of a high school equivalency diploma (HSED) under Wis. Admin. Code § PI 5.09, progress reports, attendance, state test scores, demographics, and special education programming files.

Records in this series are confidential per 20 U.S.C. pt. 1232g; 34 C.F.R. pt. 99, Wis. Stat. § 118.125(2), and Wis. Admin. Code § SPS 407.05.

RETENTION: EVENT (Graduation or enrollment end) + 6 YEARS AND DESTROY CONFIDENTIAL

00366000. **WISCONSIN CHRONIC DISEASE PROGRAM - MEMBER FILES** **EVT+3** **DEST** **Y**

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)

01071000. **MEMBER ELIGIBILITY CASE FILE** **EVT+99** **DEST** **Y**

This series documents applicant eligibility for benefits through Wisconsin income maintenance programs including Medicaid, BadgerCare Plus, FoodShare, and Supplemental Security Income programs.

Records include, but are not limited to, application forms, and supplemental information provided by, or to, applicants as part of the eligibility process such as income change reports, overpayment notices, employment and training, financial records, and statement of identity.

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 justification: 7 C.F.R. pt. 272.1(f)(2) requires records for certain FoodShare cases to be retained until an applicant either turns 80 years old or has died. 42 C.F.R. pts. 431.17(c) and 457.965(c) require health care eligibility records to be retained while a case is active plus 3 years thereafter, and for certain members, records must be retained until after a deceased ndividuals' surviving spouse passes away. Out of caution, all case files will be retained to comply with this requirement.

RETENTION: EVENT (Date application submitted) + 99 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 # I403I 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 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

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

Records in this series aid in enrollment or re-enrollment of 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.

Provider enrollment materials include, but are not limited to, completed applications, sanction letters, other correspondence related to enrollment, change of address, change of status or change in specialty. Records contain

personally identifiable information such as Social Security Number or date of birth.

Event: contract with the provider has terminated. If the provider is re-enrolled before the 5-year retention period ends than records will be retained as if the event date requirement has not yet been met. Records will only be disposed of if 5 consecutive years have passed since the contract has terminated and the provider has not re-enrolled.

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 + 5 years and destroy confidential

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 inventory control logs, or similar controls fom 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

01007000. ESTATE RECOVERY PROGRAM (ERP) & WFCAP MEDICAL ASSISTANCE ELIC FIS+3 DEST Y

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
01107000.	**DISABILITY ELIGIBILITY DETERMINATION EXPENDITURE RECORDS**	**EVT+7**	**DEST**	**Y**

Records in this series detail the fiscal and budgetary information associated with determining eligibility for 42 U.S.C. pt. 401 (Social Security Act, Title 2, Section 201), 42 U.S.C. pt. 1381 (Social Security Act, Title 16, Section 1601), and 42 U.S.C. pt. 1396 (Social Security Act, Title 19, Section 1900) (Medical Assistance) disability applications.

Records include, but are not limited to, invoices and vouchers for medical records, travel, consultative examinations, tele-dictation services, and budgetary materials. All invoices and vouchers include personally identifiable information such as the claimant name, Social Security number, and date of birth.

Records in this series contain confidential information per 5 U.S.C. pt. 552a and Wis. Stat. §§ 19.36(1) and 19.35(1)(a).

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

01124000.	**PRO CONSULTATIVE EXAMINATION VENDOR FILES**	**EVT+7**	**DEST**	**Y**

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

Dept # /409/ Department Name **DMS - CLINICAL POLICY AND PHARMACY**

RDA #	RDA Title	Retention	Disposition	PII
00391000.	**PRIOR AUTHORIZATION CASE FILES**	**EVT+7**	**DEST**	**Y**

Records in this series relate to Prior Authorizations as defined in Wis. Admin Code § DHS 101.03 for ForwardHealth program participants, meaning the written authorization issued by the department to a provider prior to the provision of a service. Note that 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.

Records include, but are not limited to, ForwardHealth Member requests for Prior Authorization benefits, complaints, screening documents, and correspondence with county agencies, providers, vendors, and the Department of Administration Division of Hearings and Appeals.

Event: Date all issues related to the Prior Authorization have been finalized (approved, approved with modifications, denied, amended, or becomes inactive).

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 + 7 years and destroy confidential

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

Per Wis. Admin. Code§ DHS I 04.03, 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 repo1ts, correspondence with members, county agencies, physicians, vendors, and/or correspondence with Administrative Hearings, etc.

RDA #	RDA Title	Retention	Disposition	PII

Records are confidential per Wis. Admin. Code § DHS I 04.0 I (3).

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

00393000. **MEMBER APPEALS FOR FAIR HEARINGS** EVT+7 DEST Y

Per Wis. Admin Code § DHS 104.01(5) ForwardHealth members and participants are allowed a fair hearing to appeal department actions that result in the denial of a claim or prior authorization.

Records include, but are not limited to, requests, research materials, eligibility documents, prior authorization and claim status information, provider handbooks, member handbooks, ForwardHealth memos, and correspondence with the Department of Administration Division of Hearings and Appeals (DHA), members, providers, county agencies, and vendors.

Event: Date a decision has been made by DHA and all other litigation issues are resolved.

RETENTION: EVENT + 7 years and destroy confidential

01104000. **MEDICAID PROGRAM: PAYMENTS FOR COVERED OUTPATIENT DRUGS UND** 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 § l 927(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 sh al l 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

01112000. **FORWARDHEALTH DRUG ADDITION REVIEWS** EVT+0/6 DEST N

Providers may request to have a National Drug Code (NDC) for an individual drug reviewed for inclusion as a covered service in ForwardHealth benefit plans. Requests are evaluated based on state and federal regulations and upon approval the NDC is added to the Medicaid Management Information System.

Records include, but are not limited to, requests, research materials, decision documentation, and correspondence.

RETENTION: EVENT (DECISION IS MADE) + 6 months and destroy

01113000. **FORWARDHEALTH DRUG PRICING REVIEWS** FIS+4 DEST N

Pharmacy providers may request a review of an existing State Maximum Allowable Cost (SMAC) rate for ForwardHealth benefit plans. Requests are evaluated based on provider acquisition costs and specific thresholds established by the state.

Records include, but are not limited to, requests, provider acquisition invoices, decision documentation, and correspondence.

RETENTION: EVENT (END OF FISCAL YEAR) + 4 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

00940000. **CLIENT GRIEVANCE RECORDS** EVT+25 DEST Y

Individuals receiving treatment for mental health, substance use and/or developmental disability in the community and state-run facilities may file, or have filed on their behalf, grievances about their care. Records in this series are used to process grievances and provide statistics regarding grievances over time.

Records include, but are not limited to, client personal identification information, original complaint, correspondence, decisions and appeals at each stage of the grievance process, case number, employee information, processing information, complaint category, decision outcome information, provider information.

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 (End of calendar year grievance filed) + 25 years and destroy confidential

00943000. **CLIENT GRIEVANCE DECISIONS FOR STAGE 3 / LEVEL III AND STAGE 4 / LE** **EVT+20** **DEST** **Y**

Individuals receiving treatment for mental health, substance use and/or developmental disability in the community and state-run facilities may file, or have filed on their behalf, grievances about their care. Initial decisions may be appealed to the State levels. Stage 3/Level III is decided by a Client Rights Specialist and Stage 4/Level IV is decided by DHS
Administrator. Records in this series are used to offer guidance to Department of Health Services (DHS) staff regarding past decisions and precedents.

Records include, but are not limited to, decisions at Stage 3 or Level III authored by Client Rights Office staff, decisions at Stage 4 or Level IV authored by Division of Care and Treatment Services (DCTS) Administrators.

Event date: Decision is made for a grievance, or the case is cited in another grievance decision, whichever comes later.

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 + 40 years and destroy CONFIDENTIALLY

01095000. **CONDITIONAL RELEASE AND OPENING AVENUES TO REENTRY SUCCESS ((EVT+20** **DEST** **Y**

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

01096000. **CONDITIONAL RELEASE/OPENING AVENUES REENTRY SUCCESS (OARS) (EVT+7** **DEST** **Y**

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

01039000. PREADMISSION SCREENING & ANNUAL RESIDENT REVIEW FILES EVT+7 DEST Y

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

01128000. YOUTH CRISIS STABILIZATION FACILITIES (YCSF) EVT+7 DEST Y

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

01086000. REPORTED RECORDS AND INVESTIGATION EVIDENCE EVT+1 DEST Y

Pursuant to Wis. Stat.§ 146.40(4r), entities are required to, and any member of the public may, report to 1he 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

01055000. **REHABILITATION REVIEW APPLICATIONS** **EVT+10** **DEST** **Y**

This record series covers applications for a rehabilitation review approval through the Department of Health Services under Wis. Admin. Code ch. DHS 12, and Wis. Stat. § 50.065.

Records include, but are not limited to, applications, supporting documentation, and correspondence.

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

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

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 f om 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 AND REHABILITATION R** **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. Entity employees and contractors found guilty of misconduct may apply for a rehabilitation review per Wis. Admin. Code ch. DHS 12 and Wis. Stat. § 50.065. Records include, but are not limited to, investigative reports, correspondence, and forms used to document investigations where a finding of misconduct was substantiated, rebuttal statement or records related to any appeal, panel decisions of rehabilitation review cases. Excluded from this series are records reviewed or used as evidence in the investigation, which are governed by RDA 1086, and rehabilitation review applications governed by 1055.

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, or the date a decision is made in a rehabilitation review case. A 50 year retention period was selected in order to comply with Wis. Admin Code § DHS 12.12, and to maintain the safety of patients.

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)(l); 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

00719000. **HEALTH CARE FACILITY PATIENT FILES - RECEIVERSHIP FILES** **EVT+7** **DEST** **Y**

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.

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.

These records may contain confidential information as described in Wis. Stat. §146.82.

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 (Close of facility functions) + 7 years and destroy confidential

00762A00. **NURSE AIDE DENIED RECIPROCITY APPLICATIONS** **EVT+1** **DEST** **Y**

Applications are submitted by nurse aides for determination of eligibility to transfer from another state's nurse aide (NA) registry to the Wisconsin NA Registry, and transfer to another state's registry as established under federal requirement 42 C.F.R. pt. 483.156 and Wis. Stat. § 146.40. Applicant placement on the registry is based on successful completion of an approved nurse aide instructional and testing program. Denied applications are retained in case of decision appeals.

Records include, but are not limited to, application materials for denied out-of-state NA applicants and correspondence related to application denials and appeals. Applications include name, SSN, address, phone number, birth date, email address, training program start and end date, employment verification, certification history, and test history.

Records are confidential per 19 C.F.R. pt. 201.6, 45 C.F.R. pts. 160 and 164, and Wis. Stat. § 146.82; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39.

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 (Date of denial) + 1 year and destroy confidential

00788000. WISCONSIN NURSE AIDE,CAREGIVER, AND GUARDIANSHIP PROGRAMS EVT+3 DEST Y

This series documents state certification instructional programs detailed in Wis. Admin. Code chs. DHS 129, 131, 132, and 134 and 42 C.F.R. pt. 483.151, such as nurse aide, feeding assistant, and medication aide, as well as oversight of Corporate Guardianship programs per Wis. Admin. Code ch. DHS 85.

Records include, but are not limited to, program certification applications, renewals, and associated documents such as policies and procedures, program statements, instructor qualifications, curricula, textbooks, evaluation and examination questions and forms, building information, financial/business records, licenses, reports, waivers, appeals, and complaint intake and investigation documentation.

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; Wis. Stat. § 146.82; IRS Internal Revenue Code § 6103(d)(1); 19 C.F.R. pt. 201.6; Centers for Medicare & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. § 19.36(13).

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

00788A00. NURSE AIDE AND FEEDING ASSISTANT TRAINING PROGRAMS PRIMARY INS EVT+6/6 DEST Y

This series contains applications of individuals seeking approval to be primary instructors with approved nurse aide or feeding assistant training programs per 42 C.F.R. pt. 483.152(a)(5)(i) and Wis. Admin. Code § DHS 129.06(1). Records include, but are not limited to, applications and supporting documentation such as personal identification information, resumes, training certificates, valid health professional licensure, background check information, and
correspondence related to the applications.

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

RETENTION: EVENT (Date of approval or denial) + 6.5 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)(l); 19 CFR § 201.6; Centers for Medicate & Medicaid Services Survey & Certification Memo-11-39; Wis. Stat. § 19.36(10);

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

01140000. NURSE AIDE REGISTRY EVT+75 DEST Y

The Wisconsin Nurse Aide Registry is established under federal requirements 42 C.F.R. pt. 483.156 and Wis. Stat. § 146.40(2). Candidates may seek placement on the Registry based on successful completion of an approved nurse aide instructional and testing program. In addition, the registry tracks individuals who have completed a medication aide course
or have been approved as nurse aide and feeding assistant training program primary instructors. Primary instructor applications for are held under RDA 788A.

Registry records include, but are not limited to, name, SSN, address, phone number, birth date, email address, training program start

and end date, employment verification, certification history, test history, information regarding misconduct and rehab reviews, notes, and correspondence with applicants. Reciprocity entries may also include out-of-state training documentation and/or out-of-state employment verification.

Records are confidential per 45 C.F.R. pts. 160 and 164, and Wis. Stat. § 146.82.

Retention justification: Long term retention period is necessary due to feasibility of compliance with Wis. Stat. § 146.40(4g) and Wis. Admin. Code § DHS 129.09(8).

RETENTION: EVENT (Date individual added to registry) + 75 years and destroy confidential

01141000. CLINICAL LABORATORY IMPROVEMENT AMENDMENT (CLIA) CERTIFICATE EVT+7 DEST Y

Laboratory initial applications and change requests for Clinical Laboratory Improvement Amendment (CUA) certificates are generated from federal forms, email, and written per the federal notification requirements under 42 C.F.R. pt. 493. The Department of Health Services is responsible for updating the federal database from the requests submitted to the state agency per 42 U.S.C. pt. 1395aa.

Records include, but are not limited to, Center for Medicare and Medicaid Services (CMS) 116 applications, correspondence, and other application materials. Confidential information on provider applications can include social security or federal tax identification numbers, addresses, email addresses, dates, phone numbers, etc.

Records contain confidential information per 45 C.F.R. pt. 160 and 164; Wis. Stat.§ 146.86; 5 U.S.C. pt. 552a; 19 C.F.R. pt. 201.6; CMS Survey and Certification Memos 11-39 and 23-05-CLIA; CMS State Operations Manual§§ 3300-3320; CMS State Operations Manual for Laboratories§ 6016.2; 42 C.F.R. pt. 401 Subpart B; Wis. Stat.§ 801.19.

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

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

01146000. CH. 343 IMPLIED CONSENT PERMIT PROGRAM EVT+10 DEST Y

Series consists of records that have been created and collected for the purposes of issuance of permits to laboratories and analysts performing testing for alcohol, controlled substances, and controlled substance analogs under Wis. Stat. § 343.305.

Records include, but are not limited to, laboratory information, analyst names, addresses, social security numbers, federal tax identification numbers, accreditation reports, licensure check reports, initial and renewal applications, and permits.

Records series is confidential per 45 C.F.R. pts 160 and 164; Wis. Stat. § 146.38; IRS Internal Revenue Code § 6103(d)(1); 19 C.F.R. pt. 201.6; Wis. Stat. § 19.36(13).

RETENTION: EVENT (date permit expires) + 10 years and destroy confidential

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

00256A00. **MANAGED CARE PROGRAM REPORTS / HMO PROVIDER CORRESPONDENC** **EVT+7** **DEST** **Y**

Pursuant to Wis. Stat. § 49.45, the Managed Care Program generate rep01is from HMO providers regarding Medicaid and BadgerCare Plus members' personal health information for program evaluation, dispute resolution, system monitoring, federal rep01ting, capitation of payments made to the HM Os and notification to the I-IM Os 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.

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.

Relevant Confidential Authority: 45 C.F.R. 164.502(a).

RETENTION: EVENT (Date of final report) + 7 years and destroy confidential

01147000. **WISCONSIN MEDICAID WAIVER APPROVALS** **EVT+5** **SHSW** **N**

This series documents federal approval for Wisconsin's Medicaid Home and Community Based Services waiver programs under 42 U.S.C. 1396n section 1915 waivers.

Records include, but are not limited to, waiver applications; waiver amendment applications; correspondence between Wisconsin and the federal government regarding waivers, amendments, approvals, denials, and withdrawals; and supplementary materials provided to the federal government in order to waive Medicaid program requirements.

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 (waiver expires) + 5 years and transfer to WHS

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 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

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

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 (Supereseded) +7 years and destroy confidential

00550000. WHITE HOUSE CONFERENCE ON AGING EVT+10 SHSW N

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)

Dept # /750/ Department Name **DPH - AGING AND DISABILITY RESOURCES**

RDA #	RDA Title	Retention	Disposition	PII
00551000.	AGING STATE PLANS	CR+6	SHSW	N

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)

RDA #	RDA Title	Retention	Disposition	PII
01137000.	PARTNER AGENCY REQUESTS FOR APPROVAL OF ALTERNATIVE STAFF E)	EVT+1	DEST	Y

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 - RATE SETTING**

RDA #	RDA Title	Retention	Disposition	PII
01145000.	MEDICAID RATE DEVELOPMENT FILES	EVT+5	DEST	Y

Records document the development of Medicaid fee-for-service (FFS) rates, capitation rates, and encounter based payment rates per Wis. Stat. § 49.45. FFS rates developed cover benefits paid via card services, hospital inpatient services, hospital outpatient services, and nursing home services. Capitation rates developed cover benefits paid via managed care organizations (MCOs) and health maintenance organizations (HMOs).

Records include, but are not limited to, work papers, rate notification letters, cost reports, audit work papers and results, acuity weight calculations, rate development sheets, correspondence, contractor deliverables, etc., which form the basis of Medicaid rate development for the above mentioned services.

Records series contains confidential content per 45 C.F.R. pts 160 and 164, Wis. Stat. §§ 146.82 and 134.90.

RETENTION: EVENT (rate effective period end) + 5 years and destroy confidential

Dept # /810/ Department Name **SECRETARY AND EXECUTIVE OFFICES**

RDA #	RDA Title	Retention	Disposition	PII
01160000.	B-ROLL FOOTAGE	EVT+0/6	DEST	N

Records include, but are not limited to, supplemental video and audio unrelated to specific projects or are general in nature.

Event: Subject or content superseded or obsolete

RETENTION: EVENT + 6 MONTHS AND DESTROY

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 flied 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

RDA #	RDA Title	Retention	Disposition	PII
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

RDA #	RDA Title	Retention	Disposition	PII

No Change

01092000. **BILLING AND COLLECTION CLOSED CASE TRACKING FILES** **EVT+10** **DEST** **Y**

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

RDA #	RDA Title	Retention	Disposition	PII

00713000. **AFFIRMATIVE ACTION AND CIVIL RIGHTS COMPLIANCE LETTERS OF ASSUF** **EVT+2** **SHSW** **N**

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

00713A00. **AFFIRMATIVE ACTION AND CIVIL RIGHTS COMPLIANCE ON-SITE MONITORI** **EVT+3** **DEST** **N**

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

RDA #	RDA Title	Retention	Disposition	PII

RDA #	RDA Title	Retention	Disposition	PII
00140000.	OLC CASE FILES	EVT+10	DEST	Y

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.

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 CFR272.l(c), 42 CFR431.300-307 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

RDA #	RDA Title	Retention	Disposition	PII
00142000.	OLC GENERAL OFFICE FILES	CR+3	DEST	N

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. § 51.3 0 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

No Change. 5/98-Disposition Changed To Destroy.

00146000. LEGAL OPINION CORRESPONDENCE CR+50 SHSW Y

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)

00147000. OLC SUBJECT FILES - NON-APPOINTED STAFF EVT+10 SHSW Y

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. § 51.3 0 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)

01055000. REHABILITATION REVIEW CASE FILES EVT+20 DEST Y

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

01106000. **HUMAN SERVICES REPORTING SYSTEM AND PROGRAM PARTICIPATION SY** **FIS+4** **DEST** **Y**

The data collected and maintained within the Human Services Reporting System (HSRS) and Program Participation System (PPS) support allocations to counties from the state via federal Social Services Block Grants (SSBG). Data is collected and maintained within the systems per the federal reporting requirements identified in 45 C.F.R. pt. 96.134.

Records contain, but are not limited to, expense and revenue report data, and information collected from counties regarding provision of services, pursuant to Wis. Stat. § 46.031(2)(g), including date of birth, gender, race, and type of service received by individuals.

Records series contains confidential content per 45 C.F.R. pts 160 and 164 and Wis. Stat. § 146.38.

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

00712000. **IMPOUNDED/ADOPTION RECORDS** **P** **PERM** **Y**

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all impound and adoption files and amendments to these records.

Records include, but are not limited to, name, date of birth, place of birth, parent information, date registered, certificate number, and court orders.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

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: Permanent

00800000. **VITAL RECORDS CORRESPONDENCESERVICE REQUESTS** **EVT+2** **DEST** **Y**

Records in this series document service requests for information and vital records.

Records include, but are not limited to, request information and related correspondence.

Records are confidential per Wis. Stat. § 69.20.

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

RETENTION: EVENT (Date request received) + 2 years and destroy confidential

01072000. **BIRTH RECORDS** **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.

Records include, but are 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).

RETENTION: Permanent

01073000. DEATH CERTIFICATES P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original death records and amendments to these records.

Records include, but are not limited to, name, date of death, place of death, date registered, and certificate number.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

RETENTION: Permanent

01074000. MARRIAGE RECORDS P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original marriage records and amendments to these records.

Records include, but are not limited to, names, date of marriage, place of marriage, date registered, and certificate number.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

RETENTION: Permanent

01075000. DIVORCE RECORDS P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original divorce records and amendments to these records.

Records include, but are not limited to, names, date of divorce, place of divorce, date registered, and certificate number.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

RETENTION: Permanent

01076000. VITAL RECORDS AMENDMENTS P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original vital records and amendments to these records.

Records include, but are not limited to, documents to amend birth, death, marriage, divorce, declaration of domestic partnership, or termination of domestic partnership record nformation.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

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: Permanent

RDA #	RDA Title	Retention	Disposition	PII

01077000. PATERNITY RECORDS P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original paternity records and amendments to these records.

Records include, but are not limited to, child's name, date of birth, place of birth, and parent information.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

RETENTION: Permanent

01079000. DELAYED REGISTRATIONS OF BIRTH, DEATH, AND MARRIAGE P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original vital records and amendments to these records. Delayed registration documents record a birth, death, or marriage that was not filed within 365 days from the date of the event.

Records include, but are not limited to, names, parent and/or spouse information, date and place of birth, death information, and/or marriage information.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

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: Permanent

01109000. DOMESTIC PARTNERSHIP RECORDS P PERM Y

Chapter 69 of the Wisconsin Statutes identifies Vital Records as responsible for filing and maintaining all original domestic partnership declaration and termination records and amendments to these records.

Records include, but are not limited to, name, date of birth, place of birth, date registered, and certificate number.

Records are confidential per Wis. Stat. § 69.20.

Permanent retention of these records is justified by Wis. Stat. §§ 69.03(4)-(5).

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 erification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: Permanent