

# 437-CHILDREN & FAMILIES

Dept # Department Name

RDA # RDA Title Retention Disposition PII

**00278000.** **FINANCIAL FILES** **FIS+7** **DEST** **N**

These records consists of, but are not limited to, fraud/overpayment referrals, working finance files, fiscal reports. These files do not include any records relating to contracts, MOUs or grants.

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 (Fiscal) + 7 years and destroy

**00284000.** **NOTICES TO CUSTOMERS** **EVT+1** **DEST** **N**

These records consist of, but are not limited to, AFDC/W-2 inserts, notices, letters, fliers, or stutters that contain information for our customers on rules and communicating the programs. Also may include supporting documentation for these notices.

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 notice) + 1 year and destroy

**00293000.** **CASE RECORDS** **EVT+3** **DEST** **Y**

These records consist of, but are not limited to: internal correspondence, participant file, job access loans, emergency assistance, medical reports, mental health assessments, vocational assessments, reports related to domestic violence, confidential case comments, authorizations and assessments.

The paper records are scanned into a data system and retained until the scanning is verified. After the electronic records have been verified the hard copies can be destroyed confidential.

W-2 records per C.F.R. § 92.42 need to be retained 3 years after the date of the final close out report, all other DCF records are retained 3 years after the case has been closed or facility ceases operation and no longer holds a valid child care license.

Box 16: Wisconsin Stat. § 49.83, §49.22(4), § 49.22(12). Certain records also maybe confidential pursuant to HIPPA, Wis. Stat. § 51.30, and Wis. Stat. § 146.82.

RETENTION: EVENT (Date of final close out report) + 3 years and destroy confidential

**00317000.** **ADMINISTRATOR AND POLICY MEMOS, AND PROGRAM POLICY MANUALS** **EVT+10** **SHSW** **N**

These records consist of Administrator's memos (Notice and Action), which either give notice to partner agencies outside of the state agency of official department policy or give notice to partner agencies of action which needs to be taken. They go out under the Administrator's signature and are used by partners, contract agencies and division field staff. These files may include but are not limited to: correspondence between all public and private entitles and the division, correspondence and reports within the division, and emails. This record series includes all working papers.

Policy memos consist of, but are not limited to: Operations Memos, Child Support Bulletins and other policy informational updates for external partners and contract agencies.

Program Policy Manuals include, but are not limited to: Program Policy Manuals issued for the guidance of partner agencies outside of the state agency and DCF staff.

RETENTION: EVENT (Date of memo) + 10 years and transfer to State Archives (WHS)

**00330000.** **ADMINISTRATIVE SUBJECT FILES - NON-APPOINTED STAFF** **CR+7** **SHSW** **N**

Consists of the A-Z correspondence files relating to the programs managed by the Department of Children and Families. Subjects include, but are not limited to, alcohol/drug abuse, mental health, social/human services, aging, foster care, children's services, developmental disabilities, Bureau of Milwaukee Child Welfare and other human service-related issues. The file material consists of correspondence between the divisions and county, state and federal agencies, private individuals and legislators; meeting minutes from division workgroups, committees and councils; policy development material and related items needed in the day-to-day operations of the two divisions.

These records have immediate and on-going administrative value as well as providing the history of the organization. Appointed or Equivalent Subject Files are maintained under ADM00030 .

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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 transfer to State Archives (WHS)

**00372000. CHILD CARE CERTIFICATION RECORDS EVT+6 DEST Y**

Records provide documentation that an individual has, under Wis. Admin. Code ch. DCF 202, applied for child care certification, been granted certification, been denied certification, had a certification revoked, or voluntarily withdrawn an application for certification. Records for the applicant/operator and certified child care home include, but are not limited to, initial, renewal and relocation applications, tuberculosis (TB) screening, standards and checklists documenting monitoring results, exceptions/stipulations, complaint investigations, well-water test results, documentation of training, background check request forms, enforcements and other related documentation and correspondence.

Closed means any of the following: A certified child care operator ceases operation, does not complete the application renewal process within the prescribed time frame, has their certification renewal denied, or has their certification revoked. An applicant for child care certification does not complete the application process within the prescribed time frame, voluntarily withdraws their application, or has their application denied.

The rules and laws governing the confidentiality of these records are Wis. Stats. §§ 19.36(13), 48.78, 48.981(7), 49.83, 146.82(1), and 905.03. United States Code 5 U.S.C. § 552a, 18 U.S.C. §§ 2721-25, 42 U.S.C. § 405(c)(2)(C)(viii)(I), and 42 U.S.C. §§ 1320d-2. Code of Federal Regulations 45 C.F.R. pts. 160, 164.

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

**00373000. REGULATION REPORTS - CHILD CARE AND CHILD WELFARE EVT+7 SHSW N**

These records consist of monthly, quarterly facilities and annual gathered regulation within the reports division for of licensed early care child care centers and certified child care providers and for licensed child welfare facilities gathered within the division of early care and the division of safety and permanence and other sources.

Regulation reports contain, but are not limited to:

- Dates and outcome of the site visits made by regulators
- Numbers of new, closed, pending facilities
- Dates and details of all enforcement actions issued
- Statistics on complaints for licensed and unlicensed facilities
- Statistics on regulated facilities
- Statistics on findings of investigation
- Dates and findings of complaint investigations

RETENTION: EVENT (Date the report was run) + 7 years and transfer to State Archives (WHS)

**00376000. PROGRAM INTEGRITY INVESTIGATION FILES - WI SHARES VIOLATION EVT+7 DEST Y**

Purpose: Investigate WI Shares violation referrals of child care providers who provide child care services to eligible parent(s), and of eligible parents who receive WI Shares subsidies, in order to maintain integrity of the WI Shares program, to prevent and correct improper child care payment to the provider/parent, and to establish and collect child care overpayments from the provider/parent.

Contents: Include, but are not limited to, child care attendance records, attendance report forms, DCF property receipt form, investigation summary report, audit report, case recommendation, stipulation, memoranda, correspondence regarding the provider/parent under investigation, referral material/documentation, parent(s) employment verification documentation, print out reports from automated case management systems (e.g. Wisconsin Child Care Regulatory System (WISCCRS), Child Care Statewide Administration on Web (CSAW), Child Care Provider Information (CCPI), etc.), investigation case notes, court legal documents, appeal results, fraud/overpayment referrals, finance files and other related correspondence.

Definition of Closed: Any of the following: investigation completed, appeal process completed, 6-month follow up completed per stipulation.

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

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**00198000. PRESS RELEASE/NEWS RELEASE/MEDIA ADVISORY/SOCIAL MEDIA EVT+1 SHSW N**

Record series consists of: (1) press releases and news releases, some including photos, that are distributed via email throughout the year; (2) notifications to media (radio and TV stations, magazines, newspapers or interested persons) of upcoming events, activities, new policies, projects, or appearances where department staff will speak or make a presentation; and (3) archived social media.

RETENTION: EVENT (End of calendar year in which issued) + 1 year and transfer to State Archives (WHS)

**00199000.** **REPORTS SUMMARIZING MEDIA CLIPS** **EVT+1** **DEST** **N**

Record series consists of weekly reports summarizing media clips notifying the Secretary and Deputy Secretary that the Department of Children and Families have been in the news.

RETENTION: EVENT (End of calendar year in which issued) + 1 year and destroy

**00200000.** **MEDIA LOG** **EVT+1** **DEST** **N**

Record series consists of emails or attached documents summarizing media contacts and department responses.

RETENTION: EVENT (End of calendar year in which issued) + 1 year and destroy

**00201000.** **SPEECHES AND TALKING POINTS** **EVT+3** **SHSW** **N**

Records series consists of speeches and talking points for presentations made by the Secretary of the Department of Children and Families. These speeches and or talking points may cover any area within the scope of the department's statutory responsibilities.

RETENTION: EVENT (End of calendar year in which issued) + 3 years and transfer to State Archives (WHS)

**00202000.** **FEATURE ARTICLES** **EVT+3** **SHSW** **N**

Records series contains feature articles published by agency staff in newspapers, journals or periodicals.

RETENTION: EVENT (End of calendar year in which issued) + 3 years and transfer to State Archives (WHS)

**00203000.** **EVENT RECORDS AND PLANNING DOCUMENTS** **EVT+3** **DEST** **N**

Record series consists of briefing information for the Secretary or Deputy Secretary about events in which she/he will be participating, organized by event and year. File may contain substantive information as well as administrative or logistical information about the event.

RETENTION: EVENT (End of calendar year in which issued) + 3 years and destroy

**00204000.** **LEGAL COUNSEL NON-LITIGATION FILES** **EVT+3** **SHSW** **Y**

Purpose: Record series contains legal files retained by the Office of Legal Counsel. The Legal Counsel's Office consults with clients, e.g. the agency head, executive staff, division administrator, or other staff on legal questions or concerns.

Content: This records series records the legal opinions, research, correspondence, and reports of DCF legal staff with the Attorney General's Office, Personnel Commission, Employment Relations, DCF divisions, and other state departments. This series also may include reference articles and other miscellaneous legal files.

These records are classified confidential per Wisconsin State Statute § 48.78, § 48.981(7), and § 49.83, attorney work product and attorney-client privilege.

During a records review, we found records that did not have an RDA. As a result, no records have been destroyed.

RETENTION: EVENT (Opinion issued or matter resolved) + 3 years and transfer to State Archives (WHS)

**00205000.** **LEGAL COUNSEL LITIGATION CASE FILES** **EVT+10** **DEST** **Y**

Purpose: This records series includes judicial and quasi-judicial litigation proceeding case files in a wide variety of matters involving the interpretation of law and/or program regulations retained by the Office of Legal Counsel. The case files are both internal and external.

Content: These files contain, but are not limited to, copies of all legal documents relating to each individual case including:

-Proceedings performed by state agency administrative law judges from the Division of Hearings and Appeals in the Department of Administration per Wis. Stat. § 227.43 on behalf of the state agency including: adoption; foster care; rate regulation; state licensed group homes; child placing agencies; shelter care facilities; regional treatment centers/children's institutions; child maltreatment; Milwaukee Early Care Administration certified family child care and program facilities; state licensed child care centers- both group and family, and day camps; fraud; overpayment; program violation; program integrity; and collections.

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-Proceedings Legal Counsel attorneys are involved in including: Adoption, Children in Need of Protection or Services (CHIPS), guardianship, Juveniles in Need of Protection or Services (JIPS), Interstate Compact for Juveniles (ICJ), Interstate Compact for the Placement of Children (ICPC), Temporary Physical Custody (TPC), Termination of Parental Rights (TPR), as well as other Milwaukee County Children's Court proceedings.

-Litigation cases brought against DCF. The case files include bankruptcies and litigation served on the Department and referred to the Department of Justice for representation.

-Human resources (HR) appeals to the State Personnel Board, Personnel Commission, Department of Workforce Development Equal Rights Division, Wisconsin Employment Relations Commission and Federal Equal Employment Opportunity Commission. HR case files will be retained 10 years from the later of case closed or termination of employment.

These records are classified confidential per Wisconsin State Statute § 48.78, § 48.981(7), and § 49.83, attorney work product and attorney-client privilege.

During a records review, we found records that did not have an RDA. As a result, no records have been destroyed.

RETENTION: EVENT (Case closed/termination of employment) + 10 years and destroy confidential

**00206000.** **LEGAL COUNSEL LITIGATION CASE FILES - SIGNIFICANT** **EVT+25** **SHSW** **Y**

Purpose/Content: Record series contains Office of Legal Counsel files for class actions and other significant, non-routine litigation, with consequences for more than one individual person.

These records are classified confidential per Wisconsin State Statute § 48.78, § 48.981 (7), and § 49.83, attorney work product and attorney-client privilege.

During a records review, we found records that did not have an RDA. As a result, no records have been destroyed.

RETENTION: EVENT (Case is closed) + 25 years and transfer to State Archives (WHS)

**00212000.** **OFFICE OF THE INSPECTOR GENERAL PROGRAM REVIEW FILES** **EVT+7** **DEST** **N**

Purpose: The OIG conducts internal reviews to enhance program integrity and fraud prevention for all programs administered by the Department of Children and Families. The internal reviews typically result in changes and/or recommendations.

These records consist of but not limited to: reports, emails, correspondence, surveys, procedures, and meeting minutes.

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

**00374000.** **REHABILITATION REVIEW REQUESTS** **EVT+10** **DEST** **Y**

This records series includes rehabilitation review request files.

These contain, but are not limited to, documents relating to each individual rehabilitation review file:

- Application for rehabilitation review and accompanying documentation
- Correspondence to and from applicant
- Appeals and accompanying documentation
- Department decisions

Certain information in these files is confidential pursuant to Wis. Stats. §§ 48.78, 48.981(7), and 49.83, attorney work product and attorney-client privilege.

RETENTION: EVENT (Rehabilitation review decision date) + 10 years and destroy confidential

Dept # /200/ Department Name ADMINISTRATOR'S OFFICE: EARLY CARE AND EDUCATION, DIVISION

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**00682000.** **LICENSING FILES -- APPROVED FACILITIES** **EVT+6** **DEST** **Y**

Purpose: Provide documentation that an individual/facility received a license/acknowledgement letter and that the minimum regulatory requirements established by Statute and Administrative Rule(s) continue to be met. These regulated facilities include child care centers, both group and family, day camps, and license exempt.

Contents : The paper records are scanned into the Wisconsin Child Care Regulatory System (WISCCRS) data system and are retained until the scanning is verified. After the electronic records have been verified, the hard copies can be destroyed confidential. Contents include, but are not limited to: current face sheets; initial and current application, license certificates and letter of transmittal;

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initial licensing study checklist or pre-licensing sign-off sheets; current child and staff record checklists; current delegation of authority (group child care only); current and last two exceptions/stipulations ; licensing checklist and child protective services reports; compliance material including DCF-F-CFS0294 and DCF-F-CFS0785 (forms or their equivalent); initial and current insurance certificates; current and initial floor plans; complaint material; all Caregiver Background Information; current inspections reports and well test results; all building inspections and related supporting correspondence.

Definitions: Closed - facility/agency ceases operation or does not complete the application process.

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

**00682A00. LICENSING FILES -- DENIED / REVOKED FACILITIES** **EVT+10** **DEST** **Y**

Purpose: Provides documentation that an individual/facility does not meet or did not meet the minimum license requirements established by Statute and Administrative Rule(s). The facilities include state licensed child care centers, both group and family, and day camps.

Contents: The paper records are scanned into the Wisconsin Child Care Regulatory System (WISCCRS) data system and are retained until the scanning is verified. After the electronic records have been verified the hard copies can be destroyed confidential. Contents include, but are not limited to: current face sheets; initial and current application; license certificate and letter of transmittal; initial licensing study checklist or pre-licensing sing-off sheets; current child and staff record checklists; current delegation of authority (group center only); current and last two exceptions/stipulations; licensing checklist and child protective service reports; compliance material including DCF-F-CFS0294 and DCF-F-CFS0785 (forms or their equivalent); initial and current insurance certificates; current and initial floor plans; complaint materials; all caregiver Background Information; current inspection reports and well test results; court and legal documents; all building inspections and related supporting correspondence.

Definition: Closed is defined as when the facility/agency license is revoked or denied by the Bureau of Early Care Regulation. We have established a longer retention for these facilities because of potential legal questions/issues due to the denial or revocation of the license.

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

**00682B00. LICENSING FILES - PURGED MATERIAL** **EVT+1** **DEST** **Y**

Purpose: The licensing files provide documentation that an individual/facility received a license and that the minimum license requirements established by Statute and Administrative Rule(s) continue to be met. This RDA covers non-essential or time limited material that is purged out of files, as per schedules 682 and 682A.

Contents: Includes, but are not limited to, non-current program/policy statements, checklists, personnel lists and pamphlets/brochures from facilities, the application, license, letter of transmittal and insurance certificates other than the original and the current version, non-current facility self surveys licensing studies, inspection request letters and exception requests and related general correspondence which could be considered non-essential to the licensing process.

Definitions: Non-current is considered to be any material that has been superseded by a new/different policy, list, statement, study, etc. Closed - facility/agency ceases operation or does not complete that application process.

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].

Box 16: Wisconsin Stat. § 48.78(2)(a)

RETENTION: EVENT (Superseded or closed) + 1 year and destroy confidential

**00682C00. LICENSING FILES - UNLICENSED COMPLAINTS** **EVT+6** **DEST** **Y**

Alleged complaints received by the Department of Children and Families regarding an individual or entity that is not licensed, but is providing care and supervision to a number of children requiring a license in accordance with Wis. Stat. § 48.65(1). Records include, but are not limited to, Child Care Complaint Intake (DCF-F-CFS321-E), Child Care Complaint Investigation Findings (DCF-F-CFS0321b), Unlicensed Child Care Complaint Response (DCF-F-CFS0856), unlicensed complaint follow-up letter to provider, complaint investigation summary letter to provider and/or complainant of the investigation findings, and any enforcement actions.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility, the original input documents 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.

Closed is the date when the investigation and all subsequent documentation of the investigation is complete.

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

Dept # /300/ Department Name MILWAUKEE CHILD PROTECTIVE SERVICES, DIVISION OF

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00379000. CREDIT REPORTS CR+5 DEST Y

Per Federal Foster Care Title IV-E requirements, 42 U.S.C. § 675(5)(1), the Department of Children and Families (DCF) must check for identity theft and fraud for children 16, 17, and 18 who live in foster care by obtaining any credit reports for these youth. Further, Pub.L. 113-183, the Preventing Sex Trafficking and Strengthening Families Act of 2014, lowered the age youth must be provided a free copy of their credit report to the age of 14. DCF is part of a data sharing agreement with the three credit reporting agencies, Trans Union, Equifax, and Experian. The credit reporting agencies require that DCF retain the records for 5 years. Per federal mandate, Department of Children and Families will be requesting credit information for all youth who are in out-of-home care and maintaining those with inaccuracies, and providing youth age 14+ a copy of their reports annually. These records consist of, but are not limited to, data-sharing agreements and credit reports.

These records contain the Personal Identifiable Information of youth in out-of-home care including social security number, date of birth, full name, and address.

These records are confidential pursuant to Wis. Stat. §§ 48.78 and/or 938.78.

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

Dept # /305/ Department Name SAFETY AND WELL BEING, BUREAU OF: SAFETY AND PERFORMANCE

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00375000. CRITICAL INCIDENT NOTIFICATIONS AND REPORTS & SEXUAL ABUSE IN OUT-OF-HOME CARE EVT+7 DEST Y

The Division of Safety and Permanence (DSP) is responsible for receiving and notifying the public about serious incidents, i.e., incidents of child death or serious injury where maltreatment is suspected, instances of egregious abuse or neglect, and suspected suicide of a youth in out-of-home care placement. Records consist of incident notifications, 90-day summary reports, and six-month summaries. Section 48.981 (7)(c) of the Wisconsin Statutes directs the Division of Safety and Permanence (DSP) to receive notifications of critical incidents and to prepare notifications and reports. The reports must be transmitted to the governor and to the appropriate standing committees of the legislature. These notifications and reports are currently posted on the Department of Children and Families web site.

Section 48.981(9) of the Wisconsin Statutes requires DCF to produce quarterly and annual reports of sexual abuse of children residing in out-of-home care placement. These reports must be prepared and transmitted to the governor and to the appropriate standing committees of the legislature. These reports are currently posted on the Department of Children and Families web site.

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

00962000. DECLARATION OF PATERNAL INTEREST EVT+0/1 DEST Y

Purpose: To record and document putative fathers interest, pursuant to Wis. Stat. § 48.025, and legal actions involving a possible child.

These records consist of, but are not limited to: Declaration of Paternal Interest DCF-F-CFS0019A or Declaration of Paternal Interest Revocation or their equivalent DCF-F-CFS0019B.

These files provide a record of putative fathers who have filed a Declaration of Paternal Interest, and those who subsequently file a revocation. Form retention is required for court determination of paternal interest of revocation in preparation for adoption. Information is entered into the database for tracking purposes.

Definition: Putative Father - The alleged or reputed father of a child born outside of marriage.

Box 16: Wisconsin Stat. § 48.025

RETENTION: EVENT (Child turns 18) + 1 month and destroy confidential

00962A00. PATERNAL INTEREST REGISTRY - COURT INQUIRY EVT+2 DEST Y

Purpose: To record requests from courts and parties regarding whether a putative father has indicated an interest in legal actions involving a child pursuant Wis. Stat. § 48.025.

Registry data is information about the child, including the date of inquiry, child's name, mother's name and address, requester name, agency/court name and whether a Declaration of Paternal Interest form has been filed on behalf of the child. Inquiries are submitted by a social worker, court or attorney.

Paper records are entered into a data system and retained until the information has been verified. After information has been verified,



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the hard copies can be destroyed confidentially.

Definition: Putative Father - The alleged or reputed father of a child born outside of marriage.

Box 16: Wisconsin Stat. § 48.025

RETENTION: EVENT (Date of inquiry) + 2 years and destroy confidential

Dept # /308/ Department Name ADOPTION SECTION: PERMANENCE AND OUT-OF-HOME CARE, BUREAU OF

RDA # RDA Title Retention Disposition PII

00197000. ADOPTION ASSISTANCE FISCAL RECORDS EVT+6 DEST Y

Consists of files for children in the Adoption Assistance Program and made up of the various forms used to authorize, report and record the payments made by the Division for the care of each child. The files are opened when a family is approved for the adoption of a special needs child and are designated eligible for the subsidy .

These records include forms and correspondence with families , other agencies , and staff within the division. Forms used include, but are not limited to, the following or their equivalents: Adoption Assistance Application and Decision; CANS Results 5-21 ; CANS Results 0-5 ; Foster Care Uniform Rate Setting; Adoption Assistance Case Entry Finalization/Pre-Adoptive Home Cases; Adoption Assistance Agreement ; Adoption Assistance Child, Family and Payment Summary Information; Health Insurance Form.

Other records subject to this RDA include the following.

Adoption Assistance

- o Decision
- o Child Abuse and Neglect (CANS) Results
- o Foster Care Uniform Rate Setting
- o Adoption Assistance Agreement
- o Adoption Assistance Child, Family, and Payment Summary Records
- o Health Insurance and Medical Assistance Records
- o SSA/SSI Correspondence Adoption

Adoption Assistance -Amendments

- o Amendment Request
- o Confirmation of Needs
- o Signed Approval or Denial
- o Background Check Results

These records were retained in paper form until 2014. Since then they have been uploaded to eWiSACWIS, verified, and destroyed confidential.

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) + 6 years and destroy confidential

00685C00. FOSTER/ADOPTIVE HOME LICENSING FILES - STATEWIDE EVT+20 DEST Y

Purpose: These files provide a record of the licensing process when a family makes an application to the Department of Children and Families to serve as a foster or adoptive home. These are records that apply to the family not the adoptee.

Contents include records for families who apply to, and families who complete the process of licensure and approval to adopt a child through the Division of Safety and Permanence (including the former Bureau of Milwaukee Child Welfare) or the Division of Milwaukee Child Protective Services. These records include, but are not limited to, initial application inquiry, formal application, questionnaires, home studies, narrative recordings, reference letters, criminal background checks, social services plan reviews, and related correspondence. After scanning is verified, the paper records are destroyed confidential.

Also, certain records cannot be scanned into eWiSACWIS due to the sensitive or confidential nature of the information they contain: Alcohol and Other Drug Abuse reports, copies of marriage or birth certificates, medical records, and psychological reports.

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].

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RETENTION: EVENT (When family licensing case is closed) + 20 years and destroy confidential

Dept # /309/ Department Name ADOPTION SEARCH: PERMANENCE AND OUT-OF-HOME CARE, BUREAU OF

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00100000. ADOPTION SEARCH APPLICANT FILES P PERM Y

This record series was created to clarify and distinguish covered records from other adoption-related RDAs. This record series consists of adoption search application files which are files created to assist persons who have been adopted or whose birth parents have terminated their parental rights, to obtain information about themselves and their birth relatives. This information may include:

- Non-identifying social history information
- Medical and genetic information about birth parents and members of their families , including routine health information and any known hereditary or degenerative diseases
- Most recent names and addresses of birth parents
- Impounded birth certificate (the birth certificate on file prior to the time of adoption).

Paper records will be scanned and reviewed for quality control purposes. They will be destroyed confidentially 30 days after the quality control process is complete .

Permanent retention is required by Wis. Admin Code DCF §53.07 .

The records covered by this RDA are confidential pursuant to Wis. Stat. §48.93 and 49.83.

RETENTION: Permanent

00500A00. ADOPTION CASE RECORDS P PERM Y

All incoming paper records have been scanned and/or uploaded into eWiSACWIS starting 1/1/17; after verification, those paper records are destroyed confidential. Records not uploaded are maintained pursuant to this RDA.

Applicant files are covered by DCF RDA 100. Permanent retention is required by Wis. Admin. Code § DCF 53.07.

Private Adoptions and Public Adoptions

These records include, but are not limited to:

- Child Medical Records/History
- Social History/Case Notes
- Legal Records
- Educational Records
- SSA/SSI Records
- Pre-adoptive Records
- Agency records transferred to DCF pursuant to Wis. Admin . Code § DCF 53.07(3) .

These records include:

- Paper files until 12/31/16, stored at the State Records Center and at the Adoption & Interstate Services office location
- Microfiche until 12/31/16, stored at the Adoption & Interstate Services office location
- Electronic, all files uploaded into eWiSACWIS starting 1/1/17
- After verification, legacy paper and microfiche files scanned or uploaded into eWiSACWIS are destroyed confidential

The records covered by this RDA are confidential pursuant to Wis. Stat. §§ 48 .78 and 48.981(7).

RETENTION: Permanent

Dept # /310/ Department Name CHILD WELFARE LICENSING: PERMANENCE AND OUT-OF-HOME CARE, BUREAU OF

RDA # RDA Title Retention Disposition PII

00400000. LICENSING FILES - APPROVED FACILITIES EVT+6 DEST Y

Purpose: Provide documentation that an individual/facility received a license and that the minimum license requirements established by Statute and Administrative Rule(s) continue to be met. These licensed facilities include group homes, child placing agencies, shelter care facilities and regional treatment centers/children's institutions.



Dept # /310/ Department Name CHILD WELFARE LICENSING: PERMANENCE AND OUT-OF-HOME CARE

RDA # RDA Title Retention Disposition PII

Contents: Paper records are scanned into the electronic Wisconsin Statewide Automated Child Welfare Information System (eWiSACWIS) data system or into the portion of the shared drive designated for the Child Welfare Licensing Section (CWLS) and retained until the scanning is verified. After the electronic records have been verified, the hard copies can be destroyed confidential. Records may include but are not limited to: the current face sheet; initial and current application; current, initial and amended license certificates and letters of transmittal; current child and staff record checklists; current exceptions and stipulations; current licensing checklist; child protective services reports; compliance material including DCF-F-2544-E and DCF-F-CFS0785 (or their equivalent); initial and current insurance certificates; current and initial floor plans; complaint material; serious incident reports; all caregiver background information (HFS 64A or its equivalent); current inspections reports and well test results; all building inspections and related supporting correspondence; warning letters and enforcement action.

Definition: Closed - facility/agency ceases operation or does not complete the application process

Box 16: Wisconsin Stat. § 48.78

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

00400A00. LICENSING FILES - DENIED / REVOKED FACILITIES EVT+10 DEST Y

Purpose: Provides documentation that an individual/facility does not meet or did not meet the minimum license requirements established by Statute and Administrative Rule(s). The facilities include state licensed group homes, child placing agencies, shelter care facilities and regional treatment centers/children's institutions.

Contents: Paper records are scanned into the electronic Wisconsin Statewide Automated Child Welfare Information System (eWiSACWIS) data system or into the portion of the shared drive designated for the Child Welfare Licensing Section (CWLS) and retained until the scanning is verified. After the electronic records have been verified, the hard copies can be destroyed confidential. Records may include but are not limited to: the current face sheet; initial and current application; current, initial and amended license certificates and letters of transmittal; current child and staff record checklists; current exceptions and stipulations; current licensing checklist; child protective services reports; compliance material including DCF-F-2544-E and DCF-F-CFS0785 (or their equivalent); initial and current insurance certificates; current and initial floor plans; complaint material; serious incident reports; all caregiver background information (HFS 64A or its equivalent); current inspections reports and well test results; all building inspections and related supporting correspondence; warning letters and enforcement action.

Definition: Closed is defined as when the facility/agency license is revoked or denied by the Bureau of Permanence and Out-of-Home Care. We have established a longer retention for these facilities because of potential legal questions/issues due to the denial or revocation of the license.

Box 16: Wisconsin Stat. § 48.78

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

00400C00. LICENSING FILES - UNLICENSED COMPLAINTS CR+6 DEST Y

Purpose: Alleged complaints received by the department regarding unlicensed facility, because of the number of children in care, the facility is required to be licensed in accordance with Wis. Stat. § 48.60(a) or 48.65(1), Wis. Stat., and is not licensed.

Contents: Paper records are scanned into the electronic Wisconsin Statewide Automated Child Welfare Information System (eWiSACWIS) data system or into the portion of the shared drive designated for the Child Welfare Licensing Section (CWLS) and retained until the scanning is verified. After the electronic records have been verified the hard copies can be destroyed. Records may include, but are not limited to: complaint investigation materials, complaint summary letter to provider, and/or complainant of the investigation findings and any enforcement actions.

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

Dept # /311/ Department Name INDEPENDENT LIVING: PERMANENCE AND OUT-OF-HOME CARE, BUR

RDA # RDA Title Retention Disposition PII

01083000. INDEPENDENT LIVING ANNUAL PLANS AND RELATED DOCUMENTS CR+2 DEST N

Independent living services are designed to help youth 14 to 21 years of age gain the skills needed for successful transition from foster/out-of-home care to living independently in the community. These services are provided by the Independent Living Transition Resource Agencies (TRAs), tribes, and the Department of Corrections' Division of Juvenile Corrections (DJC). They consist of training in basic living skills, job seeking and work experience, financial self-sufficiency and other related community services. Independent Living annual plans, completed by the TRAs, tribes and DJC are required as part of their contract with the Department of Children and Families (DCF). The plans detail the agencies' plans for providing Independent Living services. DCF staff review these annual plans and provide a written reply to the agencies. This reply includes acknowledgement of receipt of the document, feedback on any of the information included in the plan and details about next steps or corrective action the agency must take, if applicable. Twice a year, service providers are required by DCF to complete a report (outcome) on different data measures related to the independent living

Dept # /311/ Department Name INDEPENDENT LIVING: PERMANENCE AND OUT-OF-HOME CARE, BUR

RDA # RDA Title Retention Disposition PII

programs. DCF completes annual program visits with contracted independent living agencies, during which time DCF staff review files, interview staff and/or clients, review policies and procedures, among other contract oversight methods. Following the visit, DCF staff summarize the findings from their program visit into a program visit summary document, which is then provided to the agencies to provide feedback and detail any next steps or corrective action the agency must take, if applicable. Each Independent Living annual plan covers one year of a contract period. Planning documents from the TRAs, tribal agencies, and DJC are submitted to DCF. Since the plans detail a program's intent before implementation, they are not generally used after the contract period has ended. They do not contain any measurable performance data.

RETENTION: CREATION + 2 years and destroy

Dept # /314/ Department Name COMPLIANCE, RESEARCH, & ANALYTICS, BUREAU OF

RDA # RDA Title Retention Disposition PII

01081000. TITLE IV-E ELIGIBILITY EVT+6 DEST Y

Records document the eligibility determination and claiming for federal foster care funding of adoption assistance, subsidized guardianship and foster care cases using court orders and court reports; case narratives or notes; financial printouts from Electronic Data Systems (EDS); Client Assistance for Reemployment & Economic Support (CARES) and Department of Workforce Development (DWD); placement information in Human Services Reporting System (HSRS) and Wisconsin Statewide Automated Child Welfare Information System (WiSACWIS); Statewide Eligibility Unit (SEU)/Milwaukee Eligibility Unit (MEU) (Title IV-E Eligibility Files) documents completed by county/state workers related to financial, family and placement information; and related supporting correspondence from county/state workers and contract staff regarding the cases.

Closed is defined as when the child reaches 18 (up to 21 as allowed by statute) and the financial support ends. Records before May 2019 are paper.

Records after May 2019 are scanned into WiSACWIS.

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.

Box 16-Wis. Stat. § 48.396(1)

RETENTION: EVENT (Case is closed DCF) + 6 years and destroy confidential

Dept # /315/ Department Name SAFETY AND PERMANENCE, DIVISION OF

RDA # RDA Title Retention Disposition PII

01087000. ELECTRONIC WISCONSIN STATEWIDE AUTOMATED CHILD WELFARE INFO P PERM Y

eWiSACWIS RDA maintains case data. eWiSACWIS is a State-administered system. Data entered into the system and associated with a particular child or other person constitutes the case record for that child or other person. eWiSACWIS is an application that provides comprehensive automated case management functionality to support caseworkers' child welfare case management practice, including foster care and adoption assistance. The application supports the case management and monitoring of child welfare services including initial assessment, family reunification and support services, foster care and adoption assistance, and case/permanency planning while interfacing with other state and county systems. eWiSACWIS supports the following state-wide programs: Foster Care, Child and Family Services, Youth Justice (primarily out-of-home care), Interstate Compact on the Placement of Children, Adoption, Child Protective Services, and Independent Living. To maintain an electronic repository of information on child welfare cases, including but not limited to, financial, legal, social/family history, placement history, and adoption information. eWiSACWIS supports the reporting of data to the federal Adoption and Foster Care Analysis Reporting System (AFCARS) and National Child Abuse and Neglect Data System (NCANDS).

# 9: Wis. Admin Code DCF § 53.07

# 16: Wis. Stat. § 48.78 & Wis. Stat. § 48.981

RETENTION: PERMANENT

Dept # /400/ Department Name WORKING FAMILIES, BUREAU OF: FAMILY AND ECONOMIC SECURITY

RDA # RDA Title Retention Disposition PII

00288000. CUSTOMER SURVEYS EVT+7 DEST N

These records consist of surveys distributed by the division and W-2 partners. Data collected is used to measure the satisfaction of customers or partners with the services they received from the division or local agencies. The data is then summarized.

From 2003-2016 the surveys were done by the UW and only the summaries provided to DCF. Starting in 2016 DCF started using Survey Monkey and discontinued working with the UW.

RETENTION: EVENT (Entered into data system) + 3 months and destroy

Dept # /460/ Department Name CHILD SUPPORT, BUREAU OF: FAMILY AND ECONOMIC SECURITY, DI

RDA # RDA Title Retention Disposition PII

00371000. CHILD SUPPORT MAINTENANCE & FINANCIAL RECORDS EVT+27 DEST Y

\* Retain 27 years after youngest child reaches 18 years old, or 19 if still attending high school; or 7 years after date of last payment, whichever is longer.

Kids Information Data System (KIDS) is the official repository of child support payments for the family court system per Wis. Stats. § 767.57(1). Revisions to child support orders can occur until the youngest child reaches 18 years old, or 19 if still attending high school. If all support under the order was not paid on time, Wisconsin law establishes a statute of limitations for commencing new actions to collect the past-due support. The statute of limitations for child support actions expires 20 years after the youngest child reaches the age of majority. Many child support orders continue to have a balance due after the statute of limitations expires. Although there is no ability to file a new action to enforce the order after the expiration of the statute of limitations, it is still possible to collect on these amounts.

KIDS stores all data in DB2 database tables:

- Participant data - detailed information pertaining to case participants. Ideally, we have only one participant record for each individual, regardless of how many IV-D cases a participant is involved in.
- IV-D Case data - A IV-D case is the basic unit of child support enforcement.
- Court Case data - A court case is the legal basis for a child support enforcement case.
- Third Party data - These are agencies, courts, employers, insurance companies and other entities represented in the KIDS third party tables.
- Worker data - This table stores data pertaining to KIDS users; and uses this data to determine the functions users are allowed to access.

Box 16: Wisconsin Stat. § 49.83

RETENTION: EVENT (27 years after youngest child reaches 18 years old, or 19 if still attending high school) + 27 years OR (Date of last payment) + 7 years and destroy confidential

Dept # /500/ Department Name ADMINISTRATOR'S OFFICE: MANAGEMENT SERVICES, DIVISION OF

RDA # RDA Title Retention Disposition PII

00309000. RETURNED MAIL - TAX INTERCEPT PROGRAM EVT DEST Y

These records consist of tax intercept notices that are returned to the Division of Management Services (DMS) as undeliverable. The tax intercept program is set up so that individuals are notified of the state's intent to offset their federal and / or state income tax refunds. The mailing addresses are obtained by the Internal Revenue Service (IRS) for these notices, and as such, DMS must protect the confidentiality of this information under Internal Revenue Code § 6103(p)(4)(F). When these notices are returned to DMS as undeliverable, IRS safeguard requirements, as stated in IRS publication 1075, require that they be destroyed confidentially by shredding.

As required by IRS publication 1075, once a tax intercept notice is logged as returned the document is immediately placed in the locked confidential shred. The document is not to be retained.

Note for #10 Event that initiates the start of the retention time period: Closed is defined as when DMS has logged the return of the

Dept # /500/ Department Name ADMINISTRATOR'S OFFICE: MANAGEMENT SERVICES, DIVISION OF

RDA # RDA Title Retention Disposition PII

notice into the individual's computer records.

Note for #16 Records series contains content that is confidential or access is protected: IRC § 6103(p)(4)(F) and as further described in IRS publication 1075.

RETENTION: EVENT (Closed) and destroy confidential

00352000. DELINQUENT OVERPAYMENT COLLECTIONS EVT+4 DEST Y

Purpose: The Collections Section collects overpayments of public assistance benefits, including Aid to Families with Dependent Children (AFDC), Child Care, FoodShare, Job Access Loans, Medical Assistance, SeniorCare and W-2 (or their equivalents), in coordination with local agencies. When an overpayment occurs, the local agency establishes a claim for the overpayment in the Benefit Recovery (BV), a subsystem of the Client Assistance for Re-employment and Economic Support (CARES) system. All repayments are tracked in BV (Benefit Recover-Subsystem of CARES).

If a claim becomes delinquent, it is sent to the Central Recoveries Enhanced System (CRES). From this system, the Public Assistance Collection Unit monitors the delinquent claims and determines if they are eligible for further collection actions such as state and federal Tax Intercept, Levy or Warrant and execution for delinquent claims.

Paper records are scanned and the imaged file is stored in the Edocs System and are retained until scanning. After the electronic records have been verified the hard copies can be destroyed confidential. Contents include: Tax Intercept and Levy; Notices; Letters (e.g. standard, custom, appeal); Files (e.g. intercept, pre-offset, collection); and Reports (e.g. documented debt EOS or CRES reports) or their equivalents sent between DCF, Debtor, State department of Revenue (DOR), or the Federal Treasury Offset Program (TOP).

RETENTION: EVENT (Delinquent claim is satisfied) + 4 years and destroy confidential

Dept # /510/ Department Name FINANCE: MANAGEMENT SERVICES, DIVISION OF

RDA # RDA Title Retention Disposition PII

00099000. RANDOM MOMENT TIME STUDY EVT+7 DEST N

Purpose: The statistical survey serves as the basis for Federal Reimbursement to Wisconsin for screening and intake eligibility determination and case management services provided to the Bureau of Finance.

Content: The survey consists of contact schedules with direct service workers, the questionnaire and notes made during the interview with the direct service workers.

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

Dept # /525/ Department Name REGIONAL OPERATIONS: MANAGEMENT SERVICES, DIVISION OF

RDA # RDA Title Retention Disposition PII

00269000. CIVIL RIGHTS COMPLIANCE CR+7 SHSW Y

These records consist of, but are not limited to, the Department of Children and Families Civil Rights Compliance (CRC) documents with federal agencies, department CRC plan requirements for funding recipients. They may also include Limited English Proficiency, Civil Rights Plans submitted by division funding recipients for approval, monitoring formats and records of department CRC monitoring of funding recipients, department CRC complaint records, and training materials.

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.

#16 Wis. Stat. § 146.82 and 45 C.F.R. Part 160 and Part 164, Subparts A & E (HIPAA)

RETENTION: CREATION + 7 years and Transfer - State Archives (WHS)

**00401000. KINSHIP CARE FILES** **EVT+15** **DEST** **Y**

Purpose: These files provide a record of the application process for a person who applies to become a Kinship Care provider in Milwaukee County or corresponds with the Bureau of Permanence and Out of Home Care regarding case specific content for Kinship Care applicants or recipients.

Contents: Consists of the records for persons who apply to and complete the process to serve as Kinship Care providers. The files include, but are not limited to, initial inquires, form applications, various questionnaires, home assessments, narrative recordings, court reports and orders, reference letters agreements, copies of marriage/birth certificates, criminal background and related checks and reports, correspondence.

These are files that apply to Kinship Care applicant or provider, not child in Kinship Care placement.  
 #10 Closed is defined as when the Kinship Care case is closed and Kinship Care services have ended.  
 #16. Wis. Stat. § 48.78

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 (Closed) + 15 years and destroy confidential

**01057000. CHILD PROTECTIVE SERVICES AND CHILD WELFARE CASES** **EVT+20** **DEST** **Y**

The series consists of records pertaining to Wis. Stat. ch. 48 child protective services proceedings and child welfare services in Milwaukee County including, but not limited to: reports of alleged child abuse and neglect ("reports"), screening and investigation of reports, services provided to children and families who are the subject of reports, court proceedings regarding children and families who are the subject of reports, and case management of children and families who are the subject of reports. Contents include, but are not limited to: access reports, safety assessment reports, initial assessments reports, case notes, case plans, court reports, court orders, court filings, family assessment reports, referral forms/reports, Alcohol and Other Drug Abuse (AODA) reports, birth certificates, medical records, photos of children, psychological reports, law enforcement reports, and school records.

Most newly created or received paper records are scanned into the Wisconsin Statewide Automated Child Welfare Information System (eWiSACWIS) and are retained until scanned copies are verified. Legacy paper records also are scanned into eWiSACWIS when paper case files are recalled from Record Center, and are retained until scanned copies are verified. After scanned copies have been verified, the paper copies are destroyed confidentially.

This RDA 1057 applies to legacy paper records that are not scanned into eWiSACWIS, newly created or received paper records that cannot be scanned into eWiSACWIS, and electronic/digital records that are not entered into eWiSACWIS. Electronic records scanned into eWiSACWIS are retained under RDA1087A-H Wisconsin Statewide Automated Child Welfare Information System.

Box 10: Event is the date the case is closed or (in case of a re-referral), the date of the most recent closure.

Box 16: Wisconsin Stat. § 48.981(7). May also include records subject to other confidentiality laws including, but not limited to, HIPAA (medical records), Wis. Stat. § 48.78 (information regarding a child in custody of an agency), Wis. Stat. § 48.396(1) (law enforcement records regarding a child), Wis. Stat. § 48.396(2) (children's court records), Wis. Stat. § 146.82 (patient health care records), Wis. Stat. § 51.30 (mental health records and AODA records), Wis. Stat. § 938.78 (information regarding a juvenile in custody of an agency), Wis. Stat. § 938.396(1) (law enforcement records regarding a juvenile), Wis. Stat. § 938.396(2) (juvenile court records), FERPA (education records) and Wis. Stat. § 118.125(l)(d)(pupil records).

RETENTION: EVENT (Scanned copies are verified or case is closed (see above)) + 20 years and destroy confidential