445- WORKFORCE DEVELOPMENT

RDA #	RDA Title	Retention	Disposition	PII

00323000. **NON-POLICY COMMUNICATIONS** **EVT+1** **DEST** **N**

The web is a primary environment for provision of information related to DWD programs and staff communication. DWD's webpages are often the first point of contact for customers seeking information and explanation of the agency's programs and policies. Notices to customers are frequently posted on DWD's website only; however some may be made available in other formats.

This content is frequently updated and is often presented as FAQ pages, fact sheets, and notices. These materials are intended to convey and simplify DWD policies for customers and staff; they do not take the place of the official policy documents.

RETENTION: EVENT (Removal from production server) + 1 year and destroy

00500000. **EXTERNAL POLICY / PROCEDURES / STANDARDS** **EVT+7** **SHSW** **N**

Formal documentation that gives notice of official department policy, procedures and standards to partner agencies, contracted service providers, local and state workforce boards, and DWD clients and customers. Documentation may include final roles and responsibilities, manuals, specifications, and requirements related to the provision of services.

Records also include support documents and correspondence that add understanding of alternatives and options and their implications considered during development.

The department communicates numerous requirements and official notices to a variety of audiences. This RDA captures those occurring through a number of media environments.

RETENTION: EVENT (Superseded) + 7 years and transfer to State Archives (WHS)

00506000. **NON-DWD USER ACCESS REQUESTS AND AUTHORIZATIONS** **EVT+0/1** **DEST** **Y**

Records included in this series are for non-DWD user access and authorized logon id requests to DWD systems or applications. Non-DWD users are those users not on DWD payroll and may include, but are not limited to: vendors, contractors, unpaid interns, criminal investigators, external partners, or other State of Wisconsin agency employees. A user account on its own is not a record. This RDA covers the approvals and/or actions regarding access to an account, application, or system. Records include, but are not limited to: requests and authorizations, authorization request denials, statements of implementation, and related correspondence.

This RDA does not cover records of users that are employees of DWD, which follow IT00032. Division requests and authorizations that are stored in individual division/program area applications/systems are managed by the appropriate DWD division program's related RDAs.

Reason for creation: Series identified during records inventory.

RETENTION: EVENT (24 months after departure, last activity, or removal of all access, whichever occurs first.) + 1 month and destroy confidential

Dept #: **/000/** Department Name: **EQUAL RIGHTS**

RDA #	RDA Title	Retention	Disposition	PII

00081000. **CIVIL RIGHTS DISCRIMINATION CASES AND CIVIL RIGHTS INFORMATION SY** **EVT+6** **DEST** **Y**

Civil Rights Discrimination Cases are complaints of housing, public accommodation, employment, family and medical leave law and other areas of concern. Complaint cases travel through various stages in the Civil Rights Claim Process, including Investigation, Administrative Hearing, the Labor and Industry Review Commission (LIRC) Appeals and Circuit Court Appeals.

Hearing recordings are generated anytime a case comes to a hearing before an Administrative Law Judge (ALJ). Electronic files of digital audio recordings identify:

- Procedure for hearing
- Complaint process
- The actual hearing conducted by an Administrative Law Judge, including testimony of witnesses and identifying exhibits

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.

Information contained through the Equal Rights decision level may include:

? Complaints
? Notice of Complaint
? Initial Determination
? Certification to Hearing
? Notice of Hearing
? Legal Decision Cover Letter
? Petition for Review and Briefs
? Case Log and Correspondence
? Transcripts of Hearing
? Hearing Decision
? Case Summary
…and any other related information
Additional information that may be included at the LIRC decision level:
? Findings of Fact
? Conclusions of Law Order
? Memorandum Opinion
? Dissent
…and any other related information

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

00081A00. CIVIL RIGHTS DISCRIMINATION CASES APPEALED TO COURT EVT+6 SHSW Y

Civil Rights Discrimination Cases and complaints of housing, public accommodation, employment and family and medical leave law (Wis. Stat. §§ 106.50, 106.52, 111.31-111.395, and 103.10) and other areas of concern that have been appealed to the Courts.

The Civil Rights Discrimination Cases Appealed to Court major events are recorded and tracked throughout the case process within the CRIS. The imaged files and documents are transferred after the case is closed.
Information contained through the Equal Rights decision level may include:
? Complaint
? Notice of Complaint
? Initial Determination
? Notice of Hearing
? Legal Decision Cover Letter
? Petition for Review
? Briefs
? Case Log
? Case Correspondence
? Transcripts
? Case Summary
? Findings of Fact
? Conclusions of Law
? Order
? Memorandum Opinion
? Dissent
…..and any other related information
Additional information that may be included at the LIRC decision level:
? LIRC Amended Findings of Fact
? LIRC Conclusions of Law
? LIRC Order
? LIRC Memorandum Opinion
? LIRC Amended Order
? Circuit Court Stipulation & Order
? Supreme Court Petition for Review
? Circuit Court Decision on Review
…..and any other related information

RETENTION: EVENT (Case is closed in CRIS) + 6 years and transfer to the Wisconsin Historical Society

00106000. WORK PERMIT OFFICE AND OFFICER FILES AND RELATED WORK PERMIT C EVT+7 DEST Y

Work Permit records include Work Permit Office/Officer files, Management Information Reports, Work Permit On-Line System Records, Work Permit Revocations, and other related documents.

This series covers Work Permit Summary Management Information Reports (e.g. E-Payment Remittance) or other equivalent records concerning number of permits issued and permit fees due to ERD by each Work Permit Office/Officer located around the state authorized to issue permits for Employment of Minors, Street Trades, and Age Certificates under Wis. Stat. §§ 103.70-103.75 and 103.25 and Wis. Admin. Code chs. DWD 270 and 271.

Records may include, but are not limited to:
• Child Work Permits (ERD_1), Age Certificates (LS-17), Street Permits (ERD_3) (or their equivalents)

- E-Payment Remittance Reports
- Monthly permit invoices
- Related correspondence with parents, guardians, and employers
- Work Permit Office/Officer Correspondence
- Work Permit Officer Online Application

RETENTION: EVENT (final permit issued) + 7 years and destroy confidential

00108000. PRIVATE EMPLOYMENT AGENT FILES | CR+6 | DEST | N

This record series contains private employment agent records as required to be filed under Chapter 105 of the Wisconsin Statutes.
License Information contained in the series includes:
? Applications to establish character
? License applications (LS-86 or its equivalent)
? Contracts
? Receipts
? Employment Agent's Bond contract (LS-83 or its equivalent)
? Hearing notes
Application Information contained in the series includes:
? Paid Employer Application (PEA)
? Formal Letter approving service or continuing service
… and other related information

RETENTION: EVENT (Creation) + 6 years and destroy

00109000. LABOR STANDARDS CASE FILES AND RELATED LABOR STANDARDS INFOI | EVT+4 | DEST | Y

Documentation for Labor Standards complaints and collecting payment of unpaid hours of work, vacation, bonus pay, commission or severance pay, and back wages owed employees by employers.

Equal Rights Officers investigate complaints related to Labor, Street Trades, Overtime, Minimum Wage, Private Employment Agencies, One Day of Rest in Seven, Business Closings/Mass Layoffs, Cessation of Health Care Benefits, Personnel Records, and Prevailing Wage.

The record series may contain:
? Labor Standards Complaint (LS-119-E or its equivalent or letters)
? Prevailing Wage Rate Complaint (ERD-9850 or its equivalent)
? Fact Finding documents, including Investigation documents
? Collection/payment information
? Litigation referral (District Attorney or Attorney General)
? Violation reports
? Correction orders
? Bank statements
? Check registers
? Time payment information
? Banking and fee collection reports
? Case correspondence
… and related correspondence and material.

RETENTION: EVENT (Case is closed) + 4 years and destroy confidential

00109A00. LITIGATED LABOR STANDARDS CASE FILES AND RELATED LABOR STANDA | EVT+20 | DEST | Y

Labor Standards case files referred for litigation by the Department to County District Attorneys and/or State Attorney General's Office for collection of employees' back pay awards from employers and/or to obtain a judgment against each identified employer, with assignment of collected money made to the Department of Workforce Development.

Note: Equal Rights requests the District Attorney in the respective county to litigate these cases. Since Equal Rights Division does not conduct the litigation, there are no case narratives or transcripts included in these records.

Records include, but are not limited to:
? Labor Standards Complaint (LS-119-E or its equivalent or letters)
? Prevailing Wage Rate Complaint (ERD-9850 or its equivalent)
? Circuit Court Judgments
? Final Disposition Documents
? District Attorney (DA)/Attorney General (AG) referral documents
… and related correspondence for all claims

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

RDA #	RDA Title	Retention	Disposition	PII
00109C00.	LABOR STANDARDS INFORMATION SYSTEM (LSIS) TAX FILES AND RELATE	EVT+7	DEST	Y

Labor Standards Information System (LSIS) Tax Files and Related Labor Standards Information System (LSIS) Records
Tax files generated from Labor Standards Cases for which ERD has collected, deposited and paid out money through the LSIS Account. These cases are tax files where ERD had to pay employees/former employees and deduct Federal Tax, Medicare, Social Security and State Tax from amount received. This tax money is sent to the Internal Revenue Service (IRS) and WI Dept. of Revenue, with spreadsheets showing tax dollar amounts, Social Security numbers, and the name and addresses of the employees/former employees that ERD collected from employers.

The records are small files containing case information, check information from the Department of Workforce Development (DWD) Finance (in case ERD needs to trace a check), and letters that serve as W-2's for the persons ERD paid taxes in for. If individuals get audited, ERD has their tax information from their payments from ERD.

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.

The record series may contain, but is not limited to:
? Payment information as to where ERD received the money
? Lien information, if ERD obtained a lien
? Accounting information regarding the LSIS account
? Tax deduction information sent to claimants ERD paid
? Tax letter/forms ERD sent to the IRS/WI Dept. of Revenue
? Spreadsheet with persons, Social Security numbers, amounts paid and deducted for taxes
? Employer Federal Employer Identification Number (FEIN) and State Tax Identification numbers
? Settlement information as given to ERD from WI Dept. of Justice
? Court information, including bankruptcy, settlements

RETENTION: EVENT (when account balance is satisfied) + 7 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00110000.	SHELTERED WORKSHOP AND SUBMINIMUM WAGE LICENSES	CR+4	DEST	Y

Individual license applications and licenses for handicapped people and student learners as referenced under Wis. Admin. Code § DWD 272.09 and Subminimum Wage Council materials.
Information contained in the series includes:
? Subminimum Wage License Application (LS-37 or its equivalent)
? Subminimum Wage License (LS-38 or its equivalent)
? Application for Sheltered Workshop/Patient Worker Certificate (ERD-9256 or its equivalent)
? Supplemental Data Sheet for Supplication for Sheltered Workshop/Patient Worker Certificate (federal form WH-227-MIS or its equivalent)
? Workshop/Patient Worker Certificate (federal form WH-227-MIS or its equivalent)
Information contained in Subminimum Wage Council materials:
? Council charge
? Member names
? Meeting minutes
? Sheltered workshop data
…… and other related documents.

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

RDA #	RDA Title	Retention	Disposition	PII
00402000.	INFORMATION TECHNOLOGY PROJECT PORTFOLIO (ITPP) AND GENERAL S	FIS+6	DEST	N

The Information Technology Project Portfolio and General Service Project Portfolio is one application providing two functions:
- The ITPP version centralized all Information Technology projects, as well as Service Level Agreements, by division for the department
- The GSPP version centralized all General Services projects such as mail, facilities, leasing, telecom, as well as Service Level Agreements, by division for the department.

ITPP/GSPP serves as the project case management system to manage projects, date and time estimates and estimated and actual resources. In conjunction with the development of annual operating budgets, the Bureaus of Information Technology (IT) and General

Dept #: /110/ Department Name: INFORMATION AND TECHNOLOGY SERVICES

RDA #	RDA Title	Retention	Disposition	PII

Services (BGS) develop an annual operating plan to identify all services and projects that will be provided to DWD. Each division identifies requests for services and contracts with the:
- Bureau of Information Technology Services (BITS) through Service Level Agreements (SLAs) to provide IT services or activities. ITPP tracks the BITS resources needed to accomplish the established IT goals.
- Bureau of General Services (BGS) through Service Level Agreements (SLAs) to provide GS services or activities (related to facilities management, telecommunications, and central support services). GSPP tracks the BGS resources needed to accomplish the established GS goals.

Record types may include:
Project approval, issues, decisions
Task codes
Service Level Agreements
Actual hours charged to tasks

ITPP/GSPP Interface and Integration:
The IRPP and GSPP are the same application (all the same tables are used). ITPP does collect some different data, and the view is different for GSPP.

RETENTION: EVENT (Fiscal) + 6 years and destroy

Dept #: /120/ Department Name: HUMAN RESOURCES

RDA #	RDA Title	Retention	Disposition	PII

00363000. **DIVISION LIMITED ENGLISH PROFICIENCY (LEP) PLANS** **EVT+5** **SHSW** **N**

Each division must develop and implement a LEP Plan. This series may include working documents, planning documents as well as the final division plan.

RETENTION: EVENT (Plan superseded) + 5 years and transfer to the State Archives

00364000. **DIVISION LEP SELF ASSESSMENTS AND EVALUATIONS** **EVT+5** **DEST** **N**

Each division conducts self-assessments of their Division Limited English Proficiency (LEP) Plan which are evaluated by the LEP Program Coordinator.

RETENTION: EVENT (Plan superseded) + 5 years and destroy

00366000. **LEP RELATED TOOLS** **EVT+1** **DEST** **N**

Includes but not limited to glossaries of common words and phrases used by DWD programs translated into Spanish and Hmong.

RETENTION: EVENT (Tool superseded) + 1 year and destroy

00368000. **LEP OMBUDSMAN** **EVT+3** **DEST** **Y**

Documentation of complaints and the resolution, if any, from external customers handled by the LEP Coordinator.

RETENTION: EVENT (Resolution of complaint) + 3 years and destroy confidential

00370000. **LEP PROGRAM METRICS** **CR+3** **DEST** **N**

Statistics maintained by the LEP Coordinator such as forms and brochures translated; internal clients assisted; external clients assisted.

RETENTION: EVENT (Creation) + 3 years and destroy

Dept #: /150/ Department Name: OFFICE OF THE SECRETARY

RDA #	RDA Title	Retention	Disposition	PII

00040000. **LEGISLATIVE BILL FILE** **EVT** **DEST** **N**

This series consists of a complete set of all legislative bills and the related fiscal estimates issued during each biennium retained as a set within the Office of the Secretary.

These are primarily unnecessary copies that affect other agencies (but not DWD). In cases where these legislative proposals would have an impact on DWD, those records would follow RDA #00040A, Internal Legislative Records, and be retained for 7 years after the end of each biennium.

RETENTION: EVENT (At end of each biennium) and destroy

00040A00. INTERNAL LEGISLATIVE RECORDS | EVT+7 | SHSW | N

This series consists of a complete set of all legislative bills and the related fiscal estimates issued during each biennium which relate to the Department of Workforce Development.

This series documents DWD's findings and positions on the proposed legislation. Records in the series may include:
- background notes
- in-house correspondence memos
-analysis including description of the legislation, policy and administrative effects and fiscal estimates for implementing the proposed legislation
-position papers
-summary and recommendations

Electronic/digital files will be returned to CD for transfer to the State Historical Society.

RETENTION: EVENT (End of each biennium) + 7 years and transfer to State Archives (WHS)

00041000. LEGAL COUNSEL OPINIONS | CR+20 | SHSW | N

Files are typically created as a result of requests from Department of Workforce Development management and staff, other agencies, legislators, attorneys, or the general public. Records include interpretation of the law, statutes, regulations, cases, and other administrative materials relating to the administration of the department and the programs for which it is responsible.

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

00042000. LEGAL COUNSEL CASE FILES | EVT+10 | DEST | Y

Record series contains closed case files retained by the Office of Legal Counsel.

Files document cases brought against DWD by department employees or by an outside party. Included in the files are transcripts of the hearings, appeals, correspondence and other related case information.

The Legal Counsel's Office in a state agency serves as the primary, advisory or liaison counsel on a variety of litigated case files including, but not limited to: State of Wisconsin administrative proceedings; Federal or State court proceedings; internal proceedings; and federal enforcement actions and other agency legal matters. Litigation case files include, but are not limited to, pleadings and legal arguments, evidence, research, orders, Legal Summons and Subpoenas issued. They may also contain the Client File with information on expenses; attorney notes; medical records; government agency filings; discovery (such as requests for production of documents); deposition transcripts; and evidence.

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 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 closed) + 10 years and destroy confidential

00373000. LEAD STAFF MEMOS | CR+3 | SHSW | N

Lead staff memos (LSM) provide details and contextual information that guides the principal (Secretary, Deputy or Assistant Deputy) on his or her interactions and activities during the course of an event or meeting. Depending on the event, LSMs may contain substantive information as well as administrative type information. Lead staff memos may be prepared for both internal and external events.

Administrative Note:
While there may be both paper and electronic records under this series, the official and most complete file is the electronic file maintained in Microsoft Word.

RETENTION: EVENT (Creation) + 3 years and transfer to the State Archives

00480000. EXTERNAL COMMUNICATIONS | CR+3 | SHSW | N

These records consist of external communications with media, legislature, and the public related to DWD events and programs.

May include: news/press releases, media advisories, speeches and talking points, correspondence, photos, audio, and video recordings, op-ed columns and articles, and public service announcements.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (Creation) + 3 years and transfer to the State Archives

00481000. **INTERNAL COMMUNICATIONS** — CR+3 — DEST — N

These records consist of internal communication to Department of Workforce Development divisions, executive staff, management, or employees from the Communications Office.

May include: daily media logs, agency highlights, correspondence, photographs of staff events, and speeches and talking points developed for staff communications.

RETENTION: EVENT (Creation) + 3 years and destroy

00482000. **PHOTOGRAPH, VIDEO, AUDIO, AND/OR INTERVIEW RELEASE AUTHORIZATI** — CR+3 — DEST — Y

Forms signed by individuals photographed, recorded, or interviewed by the Department releasing rights and claims in connection with the photographs or recordings.

RETENTION: EVENT (Creation) + 3 years and destroy

00483000. **CLIENT CONSULTATION RECORDS** — EVT+6 — DEST — Y

The Office of Legal Counsel consults with clients (e.g., the agency head, executive staff, division administrators, or other staff) on legal questions and concerns.

RETENTION: EVENT (Date of issue resolution as determined by Legal Counsel) + 6 years and destroy confidential

00493000. **INSPECTION AND PROGRAM EVALUATION - REPORT** — EVT+4 — DEST — N

Original report of inspections and program evaluations that assist management in identifying, analyzing, and resolving program and organizational performance and policy issues; studies of areas of specific concern or studies of areas designed to achieve organizational improvement.

Includes supporting documentation, such as: relevant information generated, obtained and used in inspections and program evaluations, including the objectives, scope, and methodologies and the documentation of work performed to support findings, conclusions, and recommendations.

Reason for creation: new program in DWD

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

00494000. **INSPECTION AND PROGRAM EVALUATION - INVESTIGATIVE CASE FILE** — EVT+4 — DEST — N

Case files developed in investigations of known or alleged fraud and abuse, irregularities and violations of laws and regulations. Files include investigative reports and related documents such as correspondence, notes, attachments, working papers and decision documentation.

Reason for creation: new program in DWD

RETENTION: EVENT (Final report after all issues are resolved) + 4 years and destroy confidential

00495000. **INSPECTION AND PROGRAM EVALUATION - ALLEGATIONS** — EVT+1 — DEST — N

Files containing information or vague allegations that are of an investigative nature but do not relate to a specific investigation or merit an investigation. These may originate from a variety of areas such as the Secretary's Office, Division leadership, or program staff and may also include matters referred to other parties for handling, and support files that provide general information that may prove useful in investigations.

Reason for creation: new program in DWD

RETENTION: EVENT (No action required decision) + 1 year and destroy confidential

Dept #: /160/ Department Name: ASD ADMINISTRATORS OFFICE

RDA #	RDA Title	Retention	Disposition	PII

00488000. **PUBLICATION HISTORY FILE** — EVT+5 — DEST — N

Dept #: /160/ Department Name: ASD ADMINISTRATORS OFFICE

RDA #	RDA Title	Retention	Disposition	PII

As part of the Governor's LEAN government initiative, DWD reviews internal processes. The internal and external publications inventory process was recently examined and redesigned, including review/update and archive activities. As a result, it was determined that a retention schedule was needed for publication history files that are maintained for each division's publications.

The purpose of the history file is to provide the development and revision information for publications. Files include approval documentation or equivalent forms, correspondence, publication users or audience, and translation requests.

The history file includes one sample of each revision and the reason or authority to delete the publication.

RETENTION: EVENT (Obsolete date) + 5 years and destroy

Dept #: /180/ Department Name: ASD GENERAL SERVICES

RDA #	RDA Title	Retention	Disposition	PII
00199000.	REED ACT (FEDERAL) BUILDING DATA	EVT+4	DEST	N

Reed Act (29 C.F.R. § 97 Subpart C) files include information such as:
- Historical and current federal and state legislation
- The historical allocation of Reed Act funds to Wisconsin
- Requests for the Legislature for authorization to use the funds
- Working papers for amortization agreements with the U.S. Department of Labor
- The amortization agreements
- The amortization payment records

The records, including the legislation associated with any project requiring amortization must be kept until the Reed Act fund is fully reimbursed. For building projects, the amortization is generally 20 years.

Separate case files are maintained for each facility that was built with Reed Act funds. Data is available on the properties acquired with Reed Act funds. At this time there is no longer any Reed Act equity in the property and it is solely owned by the federal government.

RETENTION: EVENT (After DWD no longer owns the building) + 4 years and destroy

Dept #: /500/ Department Name: VOCATIONAL REHABILITATION

RDA #	RDA Title	Retention	Disposition	PII
00270000.	AGREEMENTS WITH STATEWIDE SERVICE PROVIDERS, CONTRACTS, MEMC	EVT+4	DEST	Y

DVR develops contracts with service providers. The Fee for Service Agreements, Services to Groups Contracts, and/or other Contracts specify the rehabilitation services to DVR consumers. Series also includes agreements to provide vocational rehabilitation services to Native American tribal governments.

Memorandums of Understanding/Agreement between DVR and other state agencies will follow General Records Schedule ADM00029.

The contract file contains (as appropriate):
- Original, signed Service Provider Contract or Agreement.
- Program monitoring information including annual goal forms, quarterly reports, on site reviews
- Fiscal information including, processed invoices, reconciliation information
- Provider Affirmative Action Plan (if required)
- Provider Audit Report (if required)
- Provider Certification for Debarment, Suspension, and Other Responsibility Matters; Provider Certification Regarding Lobbying; Provider, Certification Regarding Drug-Free Workplace Requirements
- Provider Insurance Certificate
- Miscellaneous information including sent and/or received correspondence

RETENTION: EVENT (Date the contract ends) + 4 years and destroy confidential

00306000.	CLIENT RECORDS - ELECTRONIC (ALSO KNOWN AS IRIS, INTEGRATED REH	EVT+7	DEST	Y

Contains the Individualized Plan of Employment (IPE) and supporting documentation developed by the DVR counselor for each client which is generally developed within 90 days of the date the client begins receiving services.

IRIS is an electronic system used to maintain consumer records used in administering the DVR program. IRIS electronic consumer records contain several types of information and documentation pertaining to applicant eligibility for Vocational Rehabilitation (VR) services and the nature and scope of services provided.

Personal information is included in these files in the form of medical, psychological, and other disability related data. Files also contain personal financial information, training, and employment records.

VR program staff documentation is recorded in these files as a record of the interactions between the agency and the client. There is also fiscal information in the form of requests and purchases for services on behalf of the consumer.

The file may also include information related to the DVR appeals process, if the individual consumer requested an appeal(s) during the life of their DVR case. Consumers can request an appeal (an impartial hearing process) if they disagree with a decision that was made by DVR.

Appeal files may contain:
1. Request for Hearing Form (Form # DVR-10527)
2. Correspondence
3. Motions
4. Hearing Transcript
5. Appeal Decisions
6. Hearing Folders
7. Proceedings

The data is entered into the program by DVR staff and is collected through various verbal and written reports from the consumer and from other sources.

The IRIS file is the primary audit trail for the VR Program.

The IRIS electronic system used to maintain the VR consumer records is a web-based program. There are web pages (.aspx), and attachments which are .doc, .docx, .xls, .xisx, .pdf, .htm, .html, .bmp, .jpg, .png, .tif, and .msg files. The software format includes Oracle, Word, Excel, .pdf files, Html, VB.net and JavaScript. All data is kept on disk. IRIS lookup tables are a part of an Oracle database.

The VR program is funded by state federal matching funds. The minimum federal retention for these records is 3 federal fiscal years based on the Education Department General Administrative Requirements (34 C.F.R. § 80.42).

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 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 the individual client case is closed) + 7 years and destroy confidential

00330000. FEDERAL REPORTING EVT+7 DEST N

Information used to generate federal reports from DVR to the Rehabilitation Services Administration and the final reports including the annual DVR State Plan. This includes fiscal (administrative and consumer services) and program data, about the cost of the DVR program and demographic information about the consumers we serve that is used to compile the reports.

Data for the reports is collected from the Integrated Rehabilitation Information System (IRIS) electronic case management system. Case management data is collected using IRIS and the data is currently downloaded into the DWD data warehouse which is used to prepare Federal Reports.

RETENTION: EVENT (When the report is finalized and submitted to the Rehabilitation Services Administration) + 7 years and destroy

00426000. BUSINESS ENTERPRISE PROGRAM (BEP) CASE FILE EVT+7 DEST Y

Contains the licensee and terms and conditions of each license. The file also documents DVR interactions (financial, site visits, technical; assistance, correspondence, disability verification, training, and individual BEP site records.)

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Date the license is terminated) + 7 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

00001000. CANCELLED CONTRIBUTION TAX REFUND CHECKS — EVT+4 — DEST — Y

Cancelled Contribution Tax Refund Checks produced by UI Division, Wis. Stat. § 108.18.

Information on the check includes issue date, check number, amount, employer name, address, UI Account number and other pertinent program and employer information.

Contribution Tax Refund Checks are issued from the Contribution Tax Account and used to refund employers who overpaid UI Employer Taxes.

RETENTION: EVENT (Check cashed) + 4 years and destroy confidential

00002000. CANCELLED BENEFIT - SPECIAL CHECKS - PAPER — EVT+4 — DEST — Y

Cancelled Benefit - Special manually generated checks produced by the UI Division. Check Data includes issue date, check number, amount, claimant name, address, Social Security number and other pertinent program/claimant data.

Benefit Special Checks are generated from the Benefit Special Account and used:
1. To make adjustments (refunds, etc.)
2. As Combined Wage Checks (CWC) paid to other states as reimbursements for payments they made. ewe checks wire transferred to various states.
3. As Child Support Court - Intercept Checks
4. Benefit - Special Checks are issued under Wis. Stat. § 108.03(1) and the index to Wis. Admin. Code ch. 132.

RETENTION: EVENT (Check cashed) + 4 years and destroy confidential

00003000. CANCELLED UNEMPLOYMENT INSURANCE BENEFIT CHECKS — EVT+1 — DEST — Y

Cancelled Unemployment Insurance (UI) Benefit Checks, produced by US Bank in Milwaukee.

Information on the check includes issue date, check number, amount, claimant name and address.

Checks are produced by the UI Division based on information received from the telephone IVR Telephone Initial Claims (TIC) system, the internet, or manual entries by UI Benefits staff.

UI Benefit Checks are issued from the UI Benefit Account. Used for payments under Wis. Stat. § 108.03(1) and the index to Wis. Admin. Code ch. 132.

RETENTION: EVENT (Receipt of cancelled check) + 1 year and destroy confidential

00003A00. CANCELLED UNEMPLOYMENT INSURANCE BENEFIT CHECKS - CD'S — EVT+10 — DEST — Y

CD's contain an image of the front and back of the UI Benefit Cancelled Check which may include an image of the claimant signature that may be used for audit purposes. Not all checks are signed. Checks may contain a stamp on back with "Deposit to the account of the payee" or equivalent statement. Reference record series description under RDA3.

Two CDs are retained, One CD is retained as the official record and the second CD is retained for back-up purposes. Both CD's are retained 10 years. CDs are prepared by US Bank in Milwaukee in accordance with Wis. Stat. § 16.61 and Wis. Admin. Code ch. PR-1.

Program Contact: PinTzu Klimm 608-266-7027 Email address: PinTzuA.Klimm@dwd.wisconsin.gov

RETENTION: EVENT (Check cashed) + 10 years and destroy confidential

00005000. BENEFIT HEARING OFFICE FILES WITHOUT OVERPAYMENT — EVT+4 — DEST — Y

Benefit Hearing Office Files without Overpayment
Benefit Hearing Office Files contain information necessary to conduct a benefit (claimant) hearing on an appealed determination. Documents pertaining to benefit claims are stored in UIBNET.
Files may contain:
? On-line UI Appeal form
? If the appeal was filed by letter; the determination appealed; investigation forms - UCB-157 and UCB-157A and department documentation relied on in making the determination
? Correspondence from the parties
? Forms UCB-16 and UCB-23 (Eligibility Report) and any additional documentation submitted
? Notice of Hearing, Exhibits submitted into evidence at the hearing; Appeal Tribunal Decision (ATD)
? If appealed to the Labor and Industry Review Commission (LIRC), the UCL-5464 (Petition for Commission Review of Appeal Tribunal Decision), and the letter and envelope, if the appeal was by letter; the synopsis of the hearing; and the Commission decision are also included in the Hearing Office File
? If a determination is appealed to Circuit Court or subsequent court, the Court Decision will be included in the Hearing Office File
? BOLA closed LIRC and higher court UI Benefit court case files
Forms listed above, or equivalents are included in this series.

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 are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (After final appeal period has ended) + 4 years and destroy confidential

00005A00. BENEFIT HEARING OFFICE FILES WITH BENEFIT OVERPAYMENT EVT+12 DEST Y

See RDA00005 Description.

Overpayments are paid in full or written off within the 12-year retention period. These benefit cases would result in benefit overpayments, forfeitures, liens, garnishments, bankruptcy or delinquency associated with that record.

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 are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (After final appeal period has ended) + 12 years and destroy confidential

00005B00. TAX HEARING CASE FILES EVT+1 DEST Y

Tax Hearing Files contain information necessary to conduct a tax (employer) hearing on an appealed determination. Documents pertaining to tax hearings are stored in SUITES.
Files may contain:
? On-line UI Appeal form
? If the appeal was filed by letter, the determination appealed; investigation forms - UCB-157 and UCB-157A and department documentation relied on in making the determination, if any
? Correspondence from the parties and tribunal
? Notice of Hearing, Administrative Law Judge's (ALJ) handwritten notes; exhibits submitted into evidence at the hearing; Appeal Tribunal Decision (ATD)
? If appealed to the Labor and Industry Review Commission (LIRC), the UCL-5464 (Petition for Commission Review of Appeal Tribunal Decision), and the letter and envelope, if the appeal was by letter; the synopsis of the hearing; and the Commission decision are also included in the Hearing Office File
? If a determination is appealed to Circuit Court or subsequent court, the Court Decision will also be included in the Hearing Office File
? BOLA closed LIRC and higher court UI Tax court case files involving UI employer tax in which DWD is a party and carried on through final resolution in the state court system.
? Tax Hearing Case Files with overpayments are sent to UI Bureau of Tax and Accounting for further processing and final disposition.

Forms listed above or equivalents are included in this series.
Tax cases are NOT transcribed unless the case is further appealed to the circuit court or transcribing is ordered by LIRC.
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 are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (After final appeal period has ended) + 1 year and destroy confidential

00020B00. "1099G" UNEMPLOYMENT INSURANCE BENEFITS / TAX YEAR TO DATE SUM EVT+10 DEST Y

Nightly and weekly cycle runs generated from SUITES documenting daily/weekly UI Benefit activity and Tax Federal IRS and State DOR Tax Files.

General "1099G" Records Description:
The "end of year" reports generated are given to the Internal Revenue Service (IRS) for Income Tax (audit) purposes. Individuals receiving UI Benefits also receive Federal Form 1099G detailing the amount of money they received from UI or the amount repaid to UI, derived from these daily reports. These figures are used to calculate their personal tax return.

Records contained in this series include:
- Weekly Benefit Payment Update
- Reconciliation Amount Changes
- Unemployment Tax Benefits IRS Tax Summary Update - nightly and weekly cycle (includes year-to-date totals)

Information includes:
- Adjustments, in dollar amounts, resulting from reconciliation variances
- Nightly updated dollar amounts of Benefit Overpayments and Repayments year to date (for IRS file)
- Social Security number changes

Updated "1099G" file. Summary file for each calendar year.

RETENTION: EVENT (Data is superseded) + 10 years and destroy confidential

00020D00. "1099G" UNEMPLOYMENT INSURANCE BENEFITS / TAX TNNI (TEN NINETY N | EVT+10 | DEST | Y

The TNNI CICS (Customer Information Control System) mainframe application displays annual "1099G" summary data viewed on-line and used by UI staff for "1099G" inquiry and processing. The same VSAM (Virtual Storage Access Method) file is used to display data through a 1099G web application used by claimants for online inquiries.

Reference RDA 20B record series description.

RETENTION: EVENT (Data is superseded) + 10 years and destroy confidential

00020E00. "1099" UNEMPLOYMENT INSURANCE BENEFITS / TAX - MISCLASSIFIED WOI | EVT+4 | DEST | Y

1099 files are sent from the IRS directly to UI Bureau of Tax & Accounting Field Audit, due to high security access requirements, for employers to identify misclassified workers for audit purposes.

RETENTION: EVENT File is received from IRS) + 4 years and destroy confidential

00047B00. UI QUARTERLY TAX (CONTRIBUTION) REPORT | EVT+6 | DEST | Y

Employer Quarterly Tax (Contribution) Reports (e.g. paper, fax, e-mail or equivalent).

Form UCT-101 or equivalent - required under WI UI Law (Wis. Stat. ch. 108). Used by employers with more than ten employees.

These quarterly Contribution Reports are created and distributed by DWD's UI Division (Wisconsin Act 17, Laws of 1985) to all employers covered under Wisconsin's UI Law.

Information contained in the report includes:
- Employer data: Name, address, phone number, Federal Employer Identification Number (FEIN), UI Employer Account Number
- Time period the report covers, report and payment due date
- Number of employees paid for any work covered by UI Law
- Covered wages paid within the quarter, exclusions, defined taxable payroll, contribution tax due, penalties, total amount remitted
- Other pertinent employer contribution information.

Report Information used to determine amount of UI taxes due, paid, etc.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Employer contribution report due date) + 6 years and destroy confidential

00047C00. UI QUARTERLY TAX (CONTRIBUTION) REPORTS, APPEALS PENDING, BANK | EVT+6 | DEST | Y

Files are processed and filed differently than RDA47B, as result of the UI Appeals 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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Satisfaction of pending appeal, bankruptcy or delinquency associated with the record) + 6 years and destroy confidential

00049B00. UI QUARTERLY WAGE REPORT | EVT+6 | DEST | Y

UI Quarterly Wage Reports, Form UC-7823 or equivalent, required by Deficit Reduction Act (DEFRA) of 1984 and Wis. Stat. ch. 108.

These Quarterly Wage Reports are created and distributed by DWD's UI Division (Wisconsin Act 17, Laws of 1985) to all employers covered under WI Unemployment Insurance Law.

Information contained in the report includes:
- Employer Data: UI Employer Account Number, Federal Employer Identification Number (FEIN), SUITES Account Number, Name.

- Employee Data: Social Security Number, First and Last Name, Quarterly Wages, Quarter, Year and Report Due Date, Total Wages Paid.

Note: Records are not destroyed if there is a pending appeal, bankruptcy or if the employer is delinquent, per RDA 49C.

Wage Report information is used by the Department of Health Services (DHS), Department of Children and Families (DCF),

Department of Revenue (DOR) and the Federal Government to identify fraud and abuse across various programs.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Wage report received) + 24 quarters and destroy confidential

00049C00. UI QUARTERLY WAGE REPORT- APPEALS, BANKRUPTCIES, AND DELINQUE EVT+6 DEST Y

Reference record series description under RDA 49B. Files are processed and filed differently than RDA 49B as a result of the UI Appeals 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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Satisfaction of pending appeal, bankruptcy or delinquency associated with the record) + 24 quarters and destroy confidential

00049D00. UI QUARTERLY WAGE REPORT APPLICATION RECORDS EVT+6 DEST Y

The Wage report application contains wages from all UI covered WI employers, Federal and other State employers used in a claim, plus Worker's Compensation replacement wages and other relevant data.

Wage records are received through internet file upload or file transfer protocol (FTP).

Wage Report Information includes:
- Employee information: Social Security number, name and total wages paid to employee during a calendar quarter.

NOTE: Records are not destroyed if there is a pending appeal, bankruptcy or if the employer is delinquent, per RDA 49C.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Wage report received) + 24 quarters and destroy confidential

00049E00. UI QUARTERLY WAGE REPORT APPLICATION RECORDS - WAGE ONLY EMP EVT DEST Y

The Wage Report Application maintains a separate file that contains wages from an employer where the employer number is unknown or file contains reporting errors. These records are referred to as "Wage Only Employers".

The Wage Report Application creates a "dummy account" to record the wages in conjunction with the employee social security number. Once issue is resolved the office record is retained under RDA 49D.

If claimant files a UI Claim, their SSN is matched against the "wage only employer"/other files so "total wages claimed" can be used for a Benefit Claim.

RETENTION: EVENT (When issue is resolved) and destroy confidential

00050000. UI QUARTERLY WAGE REPORTS EVT DEST Y

Electronic UI Quarterly Wage Reports required by the Deficit Reduction Act (DEFRA) of 1984 and Wis. Stat. ch. 108. These reports are submitted by employers covered under WI UI Law. Internet wage records with keyed wage amounts OR Wage records are received through internet file upload or file transfer protocol (FTP) and have no value once they are entered into SUITES.

RETENTION: EVENT (Entered into SUITES) and destroy confidential

00056000. UI RECEIPT BOOKS EVT+6 DEST Y

Numbered receipt books containing carbonless receipts given to persons who paid cash to an UI department employee, either for contributions required under the law or as a re-payment of benefits erroneously overpaid to a claimant, under Wis. Stat. § 108.17.

RETENTION: EVENT (Payment received and receipt created) + 6 years and destroy confidential

00057000. UI DEPOSIT SLIPS, CREDIT MEMOS & DEPOSIT TAPES EVT+4 DEST N

Deposit slips, credit memos and deposit tapes showing deposits and credits to the UI Account(s).

RDA #	RDA Title	Retention	Disposition	PII

Electronic deposit slips, credit memos, deposit slips and adding machine tapes created by UI or received from the state working bank to determine the amount deposited into the UI account.

Deposit slips and credit memos are sent to the UI Division by the state working bank if not already completed by UI. Information contained includes the date & amount of the check.

RETENTION: EVENT (End of the accounting month that includes the deposit) + 4 years and destroy

00058000. MONTHLY SUMMARY TOTALS AND VOUCHERS EVT+6 DEST N

UI monthly summary totals and vouchers are created by General Accounting staff or the State Bank and placed in Monthly Folders as material is processed.

Vouchers summarize monthly activity of the unemployment fund. This information is then posted to accounting ledgers and used to justify the Reserve Fund Balance at the end of the month. Related files are designated by month and stored in General Accounting.

Information contained includes:
- Amount of money transferred
- How and where the money is applied
- Reserve fund balance
- Unused credit

...and other related information

RETENTION: EVENT (Close of accounting month in which they are created) + 6 years and destroy

00061000. LEGISLATIVE AUDIT BUREAU REPORTS AND OTHER REPORTS FOR NON-D EVT+1 DEST Y

Computer reports that are generated upon the request of LAB or Non-DWD auditors in order to get figures for a specific day, month, etc. Varied information may be contained in the reports, based upon the auditors needs.

Information contained includes:
- Employer Unemployment Insurance Account Number
- Claimant name and Social Security number
- Tax payroll
- Credit
- Net due
- Amount paid

...and other related information

Program Contact: PinTzu Klimm 608-266-7027
Email address: PinTzuA.Klimm@dwd.wisconsin.gov

RETENTION: EVENT (Closure of audit) + 1 year and destroy confidential

00065A00. UNEMPLOYMENT INSURANCE (UI) PROGRAM INTEGRITY HISTORY AND NO EVT+6 DEST Y

Program Integrity History files relate to benefit fraud. History files contain fraud and non-fraudulent/non-issue claims, including various cross match reports, evidence information (e.g. videos).

Prosecution Case Files are created when there is presence of fraud due to work and wage audits; prison cross match; new hire cross match; death; UI overpayments, allegation of imposter activity and other UI fraud related circumstances.

Prosecution Case Files are reviewed by the UI Bureau of Legal Affairs to determine if a case should be referred or not-referred to the Department of Justice or County District Attorney for prosecution. Non- referred/referred Prosecution files are retained by the Bureau of Benefits.

Records include Statement of Facts, Death Certificates, and other relevant records.

NOTE: Retention for Non-Referred Prosecution Case Files is based on statute of limitations, which is currently six years. UI is unable to pursue prosecution if the event is outside of the prosecution statute of limitations.

NOTE: Fraud Investigator Prosecution Case File Notes are confidential working papers used while investigating possible UI Fraud cases. Notes may be created/referenced during an investigation and decision process. Fraud Investigator Notes are not imaged and defined as confidential working papers and a non-record.

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (After no pending overpayment, forfeiture, bankruptcy or delinquency activity) + 6 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

00065B00. **UNEMPLOYMENT INSURANCE (UI) REFERRED PROSECUTION CASE FILES** **EVT+25** **DEST** **Y**

Prosecution Case File and file tracking records are created when there is presence of fraud due to work and wage audits; prison cross match; new hire cross match; death; UI overpayments, allegation of imposter activity and other UI fraud related circumstances.

Prosecution Case Files are reviewed by the UI Bureau of Legal Affairs to determine if a case should be referred to the Department of Justice or County District Attorney for prosecution. Referred files are retained by Bureau of Benefits and District Attorney for reference or prosecution.

Records may include:
- Claimant Name, Social Security Number, and Case Number
- Overpayment Amount
- Disposition Decision
- Subpoenas/Motions
- Cover letter to Department of Justice or County District Attorneys
- Death Certificate (certified copy with raised seal)
- Statement of Facts
- Prosecution Referral Checklist (UCB-17711-E or equivalent)

Reason for New RDA: Prosecution Case Files were identified during a prosecution process workflow review.

NOTE: Fraud Investigator Prosecution Notes are confidential working papers used while investigating possible UI Fraud cases and a non- record. Notes may be created/referenced during an investigation and decision process.

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (After no pending overpayment, forfeiture, bankruptcy or delinquency activity) + 25 years and destroy confidential

00068000. **CHECK BATCH RECORDS** **EVT+4** **DEST** **Y**

Each batch of UI checks processed and the check numbers in that batch.

US Bank in Milwaukee provides a daily fax of the Check Printing Audit and Control Report to the UI, BTA, General Accounting Unit. This RDA is for the faxed documents sent to DWD by the bank.

Check Printing Audit and Control Report Information includes:
- Check start and end serial numbers
- Total dollars
- Start & end check numbers removed from and returned to the vault
- Start & end check numbers used to line up the printer
- Check numbers used for backups, damage and reprint
- Total checks and non-check pages printed
- Operator Names
- Name of person confirming MICR line quality
- Number of checks printed and number of checks to be destroyed

RETENTION: EVENT (Completion of Legislative Audit Bureau (LAB) audit) + 4 years and destroy confidential

00072000. **RETURN CHECK RECORD** **EVT+4** **DEST** **N**

The Returned Check Record accompanies all mail delivered to the UI Division, BTN/General Accounting, P.O. Box 8400, for checks returned as undeliverable because of incorrect address, etc. The record is kept in the BTA, General Accounting Unit.

Information on the Returned Check Record includes:
- Date
- Number of items picked up from the Post Office
- Mail Processing employee signature
- Number of items delivered to UI, BTA
- UI BTA recipient signature

RETENTION: EVENT (Completion of LAB audit) + 4 years and destroy

00082D00. **NON-SUBJECT EMPLOYER HISTORY FILES** **EVT+3** **DEST** **Y**

Employers whose status is "Non-Subject" are not subject to the Unemployment Tax law. Non-Subject Employer History File documents and correspondence (paper, fax, e-mail or equivalent documents) used to verify an employer's existence and determine that the employer does not have a liability under tax or reimbursement and benefit payment under provisions of the WI UI Law.

Batches contain the following documents: Non-Subject History Files, 1- and 2-Year Correspondence and any other pertinent UI Employer Account Data

Information contained in this series includes:
- Non-Subject History Files, 1- and 2-Year Correspondence and any other pertinent UI Employer Account Data
- Employer UI account number (with non-subject status)
- Non-Subject History Files, 1- and 2-Year Correspondence
- Tax payment refunds
- Correspondence/determinations of excluded employee status
- Multi-state employment material
- Status Determination Reports for in and out of state business, agricultural, domestic and nonprofit employers
- Audit findings and work papers
- Correspondence/memorandums regarding liability determination
- New corporation questionnaire
- Claim forms
- Refund transmittal letters
- Federal UI tax correspondence and any other pertinent UI Employer Account Data
- Employment information request letters/follow up letters
- Internal memorandums
- Coverage informational documents
- Address/name change notices; .and any other pertinent correspondence used to determine employer status.
- and any other pertinent UI Employer Account Data

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Date the employer is officially determined by UI to be non-subject) + 3 years and destroy confidential

00083E00. SUBJECT EMPLOYER HISTORY FILES - DELINQUENT MONETARY INITIAL DE CR+15 DEST Y

Employers whose status is "Subject" are subject to the Unemployment Tax law.

Employer Monetary Initial Determinations (form UCT-4348 or equivalent) are batched and filed separately and are a subset of the Subject History Files.

History files are made up of documents used to verify an employer's existence and to determine the employer's liability under pay or reimbursement and benefit payment provisions under the WI UI Law. The batch files contain Initial Determinations for open and closed UI employer accounts.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

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

00083G00. SUBJECT EMPLOYER HISTORY FILES EVT+4 DEST Y

Documents created or received which are used to verify an employer's existence and determine the employer's liability under pay or reimbursement and benefit payment provisions of the WI UI Law. This history file is a perpetual record of an employer's experience under the WI UI Law until the account is closed and the file is subsequently destroyed (i.e. Final Purge).

Information contained in this series includes:
- Employer UI Tax account number
- Initial Determinations of liability on coverage, tax payments due and other similar matters
- Federal Employer Identification Number (FEIN)
- Subject Employer History Files
- Tax Delinquency
- 1, 2, and, 3 Year Purge
- Tax rate or reimbursement financing documents
- Multi-State Employment data I Transaction entry/history material
- Account transfer documents
- Audit findings/papers
- Collections Closed Legal Benefit Overpayment; Partial and Full Recovery
- Address/name change notification to main/suffix account(s)
- Manually created employer letters about the status or liability of employer
- Documents received about Power of Attorney designation
- Federal Unemployment Tax Data
- Federal UI Tax payment certification matters
- Various requests for transfer data and their follow-ups.
- SUITES activity history notes
- and any other pertinent UI Employer Account Data.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Date UI closes the employer's account) + 4 years and destroy confidential

00083H00. SUBJECT EMPLOYER HISTORY FILES - TAX DELINQUENCY EVT+10 DEST Y

UI Employer History Files of employers who are no longer doing business in Wisconsin and have outstanding tax or reimbursement payment delinquencies. The Department of Workforce Development obtained Circuit Court issued 10-year tax warrants (dockets) for delinquent payment collection purposes on these employers (i.e. Final Purge).

Information contained in this series includes:
- Employer UI Tax account number
- Initial Determinations of liability on coverage, tax payments due and other similar matters
- Federal Employer Identification Number (FEIN)
- Tax rate or reimbursement financing documents
- Multi-State Employment data
- Transaction entry/history material and Account transfer documents
- Audit findings/papers
- Circuit Court 10-year tax warrants
- Levy used to collect taxes due
- Address/name change notification to main and suffix account(s); and any other pertinent UI Employer Acct Data
- Manually created employer letters about the status or liability of employer
- Documents received regarding Power of Attorney designation
- Federal Unemployment Tax Data
- Federal UI Tax payment certification matters
- Various requests for transfer data and their follow-ups

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Date the tax warrant is issued and docketed by UI) + 10 years and destroy confidential

00084000. BENEFIT AND TAX HEARING RECORDINGS EVT+4 DEST Y

Digital recordings of testimony in Unemployment Insurance (UI) hearings held before DWD's UI, Bureau of Legal Affairs' Appeal Tribunals (ATD).
Digital audio recordings are digitally transferred to and stored off site with the Clear2There vendor. Records are managed by this vendor in accordance with BOLA RDA84 retention policy.
Cases are NOT transcribed unless the case is further appealed to the Circuit court or transcribing is ordered by LIRC.

RETENTION: EVENT (After final appeal period has ended) + 4 years and destroy confidential

00088000. OUTSTANDING CHECK LISTS CR+5 DEST Y

Weekly listings sent from the State Working Bank via electronic file transfer of all outstanding UI Benefits and Retraining checks. Files are retained in a secure BTA directory file (not in SUITES).

Information on the listings includes:
- Check Number, Amount, Type
- Payee Social Security Number
- Date of Issue

... and other pertinent information.

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

00089000. BANK RECONCILIATIONS FIS+4 DEST N

Reconciliations of Benefit and Retraining Accounts between UI General Ledgers and the State Working Bank. Includes info from statements of the Benefit and Retraining Accounts and computer printouts.

Information contained includes:
- Book Balance - UI General Ledger
- Outstanding check balance
- Income not booked
- Adjusted book balance
- Bank Balance

- Outstanding fund checks
- Deposits Credited and Deposit Adjustments
- Check Reversal in Error
- Adjusted Bank Balances

....and other pertinent information.

RETENTION: EVENT (Fiscal) + 4 years and destroy

00097D00. COLLECTIONS CLOSED LEGAL BENEFIT AND TAX DELINQUENT OVERPAYM | EVT+10 | DEST | Y

Collection closed legal overpayment cases originated when an UI benefit claimant was overpaid and was required to return payment to the UI Division. Debt has been repaid and a Satisfaction to Warrant (lien) has been filed.

Records in this series include:
- Initial Determinations
- Overpayment Warrants
- Levy
- Satisfactions
- Summary of legal action

...and other pertinent legal documents 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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Date the warrant is satisfied) + 10 years and destroy confidential

00097E00. COLLECTIONS CLOSED LEGAL BENEFIT AND TAX DELINQUENT OVERPAYM | EVT+4 | DEST | Y

Reference record series description under RDA97D.

NOTE: These records may be retained within Employer History files (RDA83G), as needed to ensure the Employer History file is complete.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Date warrant is marked satisfied or uncollectible) + 4 years and destroy confidential

00097G00. UI DELINQUENT TAX SUBPOENA RECORDS | EVT+6 | DEST | Y

UI Bureau of Tax and Accounting (BTA) collects delinquent UI taxes. BTA issues subpoenas to banks/credit unions (financial institutions) to request financial information (e.g. signature cards, copies of checks, statements) about UI Tax debtors. Most financial institutions send information to UI-BTA via a media device (e.g. CD, thumb/flash drives). Subpoena records are copied from the media device to a secure network drive for use in the tax delinquent process.

RETENTION: EVENT (After no pending overpayment, forfeiture, bankruptcy or delinquency activity) + 6 years and destroy confidential

00157000. RETURNED CHECK INDEX CARDS | CR+4 | DEST | Y

A listing of checks picked up from the United States Postal Service by DWD's Mail Processing Section and delivered to UI's Bureau of Tax and Accounting/General Accounting. It includes checks which the post office could not deliver because of an incorrect address.

Record includes:
- Name (alpha order) and SS#
- UI week number and Date returned to UI
- UI Benefit Center number
- New address of claimant
- Date re-mailed to claimant
- Overpayment date

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

00159000. REPLACEMENT CHECK AUTHORIZATION | EVT+4 | DEST | Y

UI Bureau of Benefit Fraud Operations generates a Replacement Check Authorization to BTA to request a replacement UI check because a check was cashed fraudulently or a check was un-cashed.

The record contains the following information:
- Claimant SS# and Claimant name

- If check was un-cashed: for week(s); check amount; issuance date; check#
- If check was cashed: for week; amount of check
- Authorizer's signature and date

RETENTION: EVENT (Issuance of replacement check) + 4 years and destroy confidential

00182000. TRADE READJUSTMENT ALLOWANCE (TRA) CLAIMANT BENEFIT AND EMPL | EVT+6 | DEST | Y

Non-appealable and appealable documents pertaining to establishment, determination of entitlement and/or payment records for Trade Readjustment Allowances under the Trade Act of 1974, as amended.

Information contained in the records may include:
- Claimant name and social security number
- Weekly continued claims (UCB-17)
- Decisions issued regarding claimant eligibility
- Claim history printout; Miscellaneous correspondence
- Overpayment collection data
- Request for determination of TRA entitlement (TRA855)
- Employment information request (TRA855A)
- Claimant's affidavit of base period employment & wages (TRA855B)
- Certification for weekly TRA workers in training allowances (TRA858A)
- Worksheet (TRA13)
- Administrative Correspondence (inter-office memos;UI Directives; Job Service Directives; funding records; statistical reports; Notices of Action calendar; and other related TRA materials)
- Department of Labor documents: Petition for Trade Adjustment Assistance (ETA-9042) and Petition Certification letter
- Employer Records (data processing scans, pre-and-post certification reports union contracts, employee listings and correspondence between the employer and central and adjudication/call centers)
- and other pertinent information

Records are stored in SharePoint and UIBNET.

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Expiration of Petition for Trade Adjustment Assistance) + 6 years and destroy confidential

00185000. INTERSTATE BENEFIT AND COMBINED WAGE RECORDS | EVT+4 | DEST | Y

Combined Wage Claim (CWC) incoming and outgoing billing records related to claimants filing a UI claim by using wages from two or more states. Billing records (IB-6 records that match the YYQQ, State imported bills and IB-6 Discrepancy Report or equivalents) are used to notify each transferring state, each quarter, of benefits paid and charges due to be paid

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

00223000. BENEFIT CLAIMANT HISTORY AND ADJUDICATION / HELP CENTER RECORD | EVT+6 | DEST | Y

Variety of non-issue and issue claimant documents received by Help Centers. Claimant history files, including Adjustments and Special Programs (ASP) Section, previously Non-Automated Claims (NAG), contain information and decisions on Unemployment Insurance benefits.

Record series may include:
- Employer's benefit liability/eligibility reports
- Initial determinations on benefit claims made by the central or adjudication/call centers
- Monetary computations/re-computations
- Letters of inquiry from claimants and employers and related responses
- Printout histories of benefits paid to each claimant
- Notices of address changes; Charge-out cards
- Adjustments and Special Program (ASP) claim records
- Notices of contested claims and Investigations of contested benefit claims; Contested claims may involve any issue described under Wis. Stat. ch. 108
- Appeal records and related correspondence
- and other pertinent information

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (After no pending overpayment, forfeiture, bankruptcy or delinquency activity) + 6 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

00236B00. UNEMPLOYMENT INSURANCE FORCE PAY ORDER AND CONTROL REGISTE EVT+4 DEST Y

Force Pay Orders, which documents a Central Office Processor's order to the Benefit Application mainframe processing System to adjust claimant payment records for various reasons:
- Overpayment offsets and refunds
- TRA benefit checks
- Underpayments resulting from amended monetary determinations
- Forgeries
- Duplicate checks
- Prorates
- Tag-end adjustments; and
- Validity period checks

The Adjustments and Special Program (ASP) Section is responsible for control, completion and payment of Force Pay Orders for all bureaus within the Unemployment Insurance Division.

Information contained on the record includes:
- Claimant name and social security number
- Valid New Claim (VNC) week
- Week(s) being adjusted, amount to be force paid
- Employer name & account number or administrative account to be charged
- Condition and charge code
- Reason for payment/adjustment
- Amount offset and/or actually paid
- Authorization signature
- Unit
- Date authorized
- other pertinent information

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (When entered into UI Benefit System) + 4 years and destroy confidential

00251000. UNEMPLOYMENT INSURANCE ADVISORY COUNCIL MEETINGS, PUBLIC HEA P PERM Y

The Unemployment Insurance Law provides for a Council made up of members from labor and business to guide the development of UI Law and administrative rules used by the UI Division to administer the program.
The record series contains Unemployment Insurance Advisory Council (UIAC) meetings and public hearing files and recordings that address proposed and revised UI Law and Administrative Rules. Records also include legal advice/opinions and judicial interpretations. It is necessary to permanently retain these records because they provide the major source of UI legislative history. Files are frequently referenced and used by BOLA attorneys and staff for pending legislative and administrative rules historical research. Files are used to determine or remember intent of previously enacted laws and administrative rules, bill drafting, judicial matters, decisions and testimony and litigation investigations and proceedings. Record volume is minimal.
Records contained in this series include:
? UIAC Meeting Minutes
? UIAC Digital Audio Meeting and Public Hearing Recordings
? Law Change Proposals
? Brief Public Hearing Summaries
? Financials
? Legal advice and opinions between the UI Administrator and Deputy Administrator, UI bureaus/offices and the UIAC
? Legal advice and opinion correspondence between the Bureau of Legal Affairs (BOLA) and the Department of Labor (DOL) in response to inquiries or issues received about UI Claims, legislation, laws, policies, UI program letters (UIPL), or related UI matters.
? Attendee Lists and handout materials …and related records

RETENTION: Permanent

00259000. NEW HIRE REPORTS EVT+6 DEST Y

The Wisconsin Unemployment Insurance Division manages the State Directory of New Hires DB2 Database under agreement with the Department of Children and Families.

Reports on newly hired employees are sent to a third-party vendor used by multiple states, including Wisconsin. The third-party vendor is managed by the Department of Children and Families.

Information is collected from employers.

Records include:
- Employee Name, Address, Social Security No., Date of Birth, and Date of Hire
- Employer Name, Address, Federal Employer Identification Number (FEIN)

Note: Federal regulations do not specify data retention requirements for the states.

RETENTION: EVENT (Entry into vendor UI Benefit system) + 6 years and destroy confidential

00308A00. REQUIRED FEDERAL STATISTICAL REPORTS EVT+4 DEST N

Statistical reports required by the federal government. Reports and the source data are used by the Department of Workforce Development and Unemployment Insurance Division management.
Reports are produced electronically weekly, monthly, quarterly, and annually to provide information to the US Department of Labor (USDOL) on initial claims, continued claims, monetary and non-monetary determinations, and appeals for the management of the Unemployment Insurance program. These reports are submitted electronically to USDOL.
Record series also includes operational and Federal Reporting and Analysis.
Year to date and other source files are used as the source documents to produce these reports.
Reports contain the following information:

- Special program trigger status
- Workload counts regarding initial, continued, extended benefit and special program claims
- Time lapse counts for first payment and continued weeks timeliness
- Workload counts for adjudication and appeals
- Time lapse counts for adjudication and appeals
- Characteristics of the insured unemployed
- Claims and payment activities
- Overpayment detection and recovery activities
- Benefit rights and experience
- Interstate arrangement for combining employment/wages
- Non-monetary determination activities
- Alien claimant activity
- Worker profiling and reemployment services activity
- Worker profiling and reemployment outcomes
- . . . . and other pertinent information

The US Department of Labor UI Reports Handbook No. 401 states that this data must be retained for at least 3 years.

RETENTION: EVENT (End of calendar year) + 4 years and destroy

00336000. UNEMPLOYMENT INSURANCE BENEFITS CLAIMANT RECORD EVT+6 DEST Y

The Unemployment Insurance (UI) Benefit Claimant Record application system automates the day-to-day operations within the Bureau of Benefit Operations needed to administer and control the UI Tax laws for WI benefit accounts.

The major components of the system include: Benefit processing, that interfaces with UI Tax and Accounting; Appeals; Labor management Information; interstate benefits; child support; non-monetary and monetary determination processes; claimant file updates, report generation, and data sharing with other governmental programs.

The UI Benefits Claimant files and data include:
- Portal data including authentication; time/date stamp and data entered
- Inquiries; Overnight processes
- Monetary determinations
- Special programs
- Check writing
- Disputed claims
- Appeals
- Initial UI benefit claims
- Weekly benefit claims
- Overpayment, forfeiture, bankruptcy or delinquency activity
- Interstate and combined wage claims

Software: The Benefit system is a mainframe-based transactional system which includes numerous batch and on-line jobs. The centralized mainframe and client/server environments utilize COBOL2, VSAM and IDMS data stores, CICS transactional processing, and DB2 and Oracle data stores

RETENTION: EVENT (After no pending overpayment, forfeiture, bankruptcy or delinquency activity) + 6 years and destroy confidential

00336A00. INITIAL CLAIMS - INCOMPLETE CR+0/2 DEST Y

Incomplete initial claim applications for all UI programs received through the telephone and internet Initial Claims Process used to track start of a UI Benefits Claim.

RETENTION: EVENT (Creation) + 28 business days and destroy confidential

00336C00. WEEKLY BENEFIT CLAIMS EVT+0/1 DEST Y

Weekly benefit claims source data, including Employer name and address changes and/or Claimant name and address changes are received in central benefits through an Unemployment Insurance online internet portal.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (Entered into UI Benefits System) + 3 weeks and destroy confidential

00336D00. INTERNET AUDIT RECORDS - INITIAL AND WEEKLY CLAIMS — EVT+3 — DEST — Y

Audit record of claimants using Internet applications to file an initial claim application or a weekly claim certification.

Audit record contains claimant's social security number, type of transaction (e.g. file a claim), UI Processor identifier (UI staff or system), date/time of transaction, and comments stored by the UI staff or system.

Information is used by UI staff to monitor system usage, for troubleshooting a UI claim, and for verification of claimant statements used in adjudication.

NOTE: Retention Criteria - Over 17 million records are maintained on this database due to volume of transactions. Since the data store is so large, data is retained current quarter, plus 3 years after entered into UI Benefits System.

NOTE: Interactive Voice Response (IVR) data collection was phased out in September 2017.

RETENTION: EVENT (When entered into UI Benefits System) + current quarter plus 3 years and destroy confidential

00336E00. UNEMPLOYMENT INSURANCE (UI) HANDBOOKS - EMPLOYER AND CLAIMAN — EVT+7 — DEST — N

UI Handbooks function as policy documents that describe regulatory requirements of the UI Program. They also provide information and instructions to employers and claimants regarding rights and responsibilities under the Unemployment Insurance law of the State of Wisconsin.

NOTE: As of 2009, the Employer Handbook (UCB-201-P) is an electronic policy document. The Claimant handbook (UCB-10-P) is printed policy document.

RETENTION: EVENT (Date handbook is superseded or made obsolete) + 7 years and destroy

00338000. STATE UNEMPLOYMENT INSURANCE TAX ENTERPRISE SYSTEM (SUITES) E — EVT+15 — DEST — Y

The SUITES system automates the day-to-day operations within BTA needed to administer and control the Unemployment Insurance Tax laws for Wisconsin employer accounts.

The SUITES system collects, stores, manages and processes information and records related to employers, UI taxation and accounting, claimant and employer debt collection, employer audits, employer payroll and wages.

SUITES consist of batch processing, real time employer account updates via user interface for internal staff, and an external facing web portal used by employers and service providers. Records include registrations, tax rates, payment information, adjustments, address updates.

Batch employer record components interface with Great Plains General Ledger, UI Benefits, Labor Market Information, Workers Compensation, New Hire, NACHA, US Bank, Internal Revenue Treasury Offset Program, DOR Tax Refund Interception Program and DOR Employer Registration, Wisconsin Consolidated Court Automation Program (CCAP) and Client Assistance for Re-employment and Economic Support (CARES).

Software: SUITES designed on .NET is a windows-based system and uses relational Oracle and data warehouse technology.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (When UI Employer Account is closed by UI) + 15 years and destroy confidential

00338A00. TAX COLLECTION LETTERS — EVT+6 — DEST — Y

Tax Collection Letters and History generated from SUITES. Reference system application description in RDA338.

Legacy UTAS/IDMS Tax Collection letters were converted to SUITES 2/26/2010.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Full recovery or write off) + 6 years and destroy confidential

00338B00. UI TAX AUDIT - UI FIELD AUDIT APPLICATION RECORDS — EVT+4 — DEST — Y

In-process field audits are stored through the Field Audit Application and images are filed in UI Workflow once the audit is closed.

Field Audit application records are editable (UI Workflow images are not editable) and are used to project different outcomes for appeal proceedings.

Audits prior to 6/1/12 (archived) are stored on the cfs1 server and accessed through the Archive Field Audit Application.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Audit completed and stored in UI Workflow) + 4 years and destroy confidential

00338C00. UI TAX AUDIT - COMPLETED UI FIELD AUDITS EVT+6 DEST Y

UI Field Audit Application records are uploaded to UI Workflow (and accessible through SUITES) after they are closed/approved by supervisor.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Audit closed) + 6 years and destroy confidential

00338E00. BENEFIT COLLECTION LETTERS EVT+4 DEST Y

Benefit Collection Letters and History generated from SUITES. Reference system application description in RDA00338.

Legacy Benefit Collection letters were converted to SUITES 2/26/2010.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Full recovery or write off) + 4 years and destroy confidential

00338I00. OUTGOING CORRESPONDENCE CR+6 DEST Y

Correspondence and Print Tracking Directory created and stored in SUITES. Contains internally generated correspondence electronic files (i.e. .PDF and XML) for all employer related correspondence mailed. Also used for viewing via the UI Employer Portal.

Some files are imaged and subsequently stored in UI Workflow, as referenced in RDA83G, imaged Subject Employer History File.

All other correspondence files are stored in SUITES and correspondence is recreated from SUITES, as necessary.

Reference RDA338 for a more detailed description of UI SUITES.

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. The input record will be destroyed confidentially 90 days after entry into the system and verified.

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

00338J00. GREAT PLAINS GENERAL LEDGER EVT+6 DEST Y

Data summary level UI Trust Fund general ledger, accounts payable, life to date account balance financial records and Claimant and Employer addresses used to create checks generated from the Great Plans General Ledger.

UI employer and claimant transaction summary data is transferred to the Great Plains General Ledger from SUITES and interfaces with SUITES and other UI applications. Bank reconciliation cash balances are regularly reconciled with the state bank.

The General Ledger was migrated from a manual system to the Great Plans General Ledger automated application in 2002.

RETENTION: EVENT (Migration to a different general ledger program) + 6 years and destroy confidential

00339000. UI TAX AND ACCOUNTING MANAGEMENT REPORTS EVT DEST Y

Daily, monthly, quarterly, or annual management aggregated reports generated by UI Tax and Accounting automated systems SUITES. Management reports are generated as needed to keep UI Tax and Accounting managers abreast of ongoing program and production UI statistics.

Reports are generated for all sections within Tax and Accounting.

RETENTION: EVENT (Superseded) and destroy confidential

00379000. CLAIMANT FOLLOW-UP ON TASKS AND REJECTS FROM THE UI BENEFIT SY | EVT | DEST | Y

Certain tasks and rejects from the UI Benefits System that require human intervention to solve questions.

Records include:
- Check Writing Exception Lists (message or SSN order)
- Electronic Workflow Tasks or Rejects (DREJ or PREJ)
- or equivalent

RETENTION: EVENT (Date issue is resolved) and destroy confidential

00379A00. ADJUDICATION SCHEDULING APPLICATION RECORDS | CR+0/9 | DEST | Y

Adjudication Scheduling Application contains information relating to UI:
- Adjudication Claimant Interview Schedules
- Claimant (who and type of interview)
- Profiling Orientation Schedule, based on certain claimant profiles.

Some profiles are targeted for additional reemployment services and scheduled orientation session.

RETENTION: EVENT (Creation) + 9 months and destroy confidential

00389000. COED - CONDITIONS OF EMPLOYMENT DATA AND REPORT | CY+6 | DEST | Y

The Conditions of Employment (CoED) data is archived files containing estimates of labor market data needed to resolve benefit eligibility and is the primary source for UI to obtain Labor Market Information.

The basic structure of the COED system contains three modules: 1) Able & Available Issues; 2) Job Offer/Quit Issues; and 3) Mean Travel Distance

Wage data is a main component of COED. The original source of this wage data comes from the annual federal OES Wage and Occupational Survey (OES). UI's source for this data, in a highly modified form, comes from the Labor Market, LMI ALMSCHEMA, and Oracle data store.

The CoED 2.0 application is an Excel Spreadsheet. Occupational titles are chosen from a DOL website (O*Netonline.org). Wage and hour data is entered onto the spreadsheet and CoED 2.0 creates a certified report. The report reflects the change from shifts to accustomed hours and provides a breakdown of the number of hours worked per week for similar work in the labor market.

RETENTION: EVENT (Superseded) + current year plus 6 additional years and destroy confidential

00394000. APPEALS CASE MANAGEMENT SYSTEM (ACMS) FILES | EVT+12 | DEST | Y

The Appeals Case Management System provides case tracking, hearing scheduling, mainframe update, and management information for UI Benefits and Tax appeals handled by the Bureau of Legal Affairs (BOLA) and the Labor Industry Review Commission (LIRC).

ACMS updates the UI Benefits System for Appeal Tribunal Decisions that affirm or result in an affirmation of initial determinations. Hearing Office, BOLA, LIRC and Tax Attorneys Code tables (e.g. Issue Codes) are also maintained through the ACMS system.

Records include appeals documentation, such as:
? Confirmation of appeal
? Administrative Law Judge schedule
? Notice of hearing
? Other appeal related information

RETENTION: EVENT (After final appeal period has ended) + 12 years and destroy confidential

00395000. BENEFIT ACCURACY MEASUREMENT (BAM) INVESTIGATION VERIFICATION | EVT+4 | DEST | Y

BAM Investigation Verification Audit Case Files including:
? Paid Claims Accuracy (PCA) data
? Denied Claims Accuracy (DCA) data
? Verification and OQC standard investigation forms
? Claimant questionnaire
? Audit decision
? Corrective action; and
? Concealed earning files

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for

RDA #	RDA Title	Retention	Disposition	PII

authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (After investigation is complete) + 4 years and destroy confidential

00395B00. BENEFIT ACCURACY MEASUREMENT (BAM) WISCONSIN EXECUTIVE SUMM | **EVT** | **DEST** | **N**

Report statistical data is derived from BAM (Audit) Case Files and compiled at the end of October for the preceding Improper Payments Information Act (IPIA) year ending June 30th, reviewed by states and then included in the USDOL BAM Annual Report.
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 are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (Report is superseded) and destroy

00396000. TAX PERFORMANCE SYSTEM (TPS) PROCESSED CASES, FILES, AND ANNU | **CR+4** | **DEST** | **Y**

TPS provides accurate program information upon which program and law decisions can be based.

Records contain:
Claimant Information:
Names
SSN's
Eligibility information
- Quarterly Gross Income
- Benefit History

Employer Information
Names
FEIN's
Ownership Information
Employer History and Records
Payment Records
Billing Records
Credit Records
Payroll quarterly records
Rate Records

Tax Performance System (TPS) Files may include selected TPS Cases, Summary Sheets, and printouts, Sun System data screen prints, printouts for auditors/Legislative Audit Bureau (LAB) and TPS Federal Review (TPS Reviewers) details.
Tax Performance System (TPS) Annual Reports contain minimal PII information. Most references are only by case number and employer UI number. USDOL receives a copy of reports annually.
TPS records are created and maintained at the Madison Office.

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 are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

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

00396A00. TAX PERFORMANCE SYSTEM (TPS) UNIVERSE DATA FILES | **CR+2** | **DEST** | **Y**

Universe data files contain all the raw data text files as defined in RDA 00396.

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 are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

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

00436000. UI SSA QUERIES AUDIT TRAIL (UIQ) | **EVT+7** | **DEST** | **Y**

UIQ Audit Trail records relating to Social Security Administration (SSA) verification data and queries sent to the SSA. Data is cross matched and used to verify UI Claimant Social Security Numbers against the SSA records.
Data is stored on IDMS and Oracle servers and a DB2 data store which all reside in secured computer facilities. SSA data is exchanged between DWD-UI and SSA mainframe data store using CICS and an ISC connection.

WI DWD and UI entered into a computer matching agreement in 1999 which allows DWD to obtain SSA data.
All data in this record is confidential.

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

00465000. IRS (INTERNAL REVENUE SERVICE) FEDERAL TAX INFORMATION EVT+6 DEST Y

Treasury Offset Program (TOP) and Government Liaison Data Exchange Program (GLDEP) Extracts, and 1099 data.

TOP is a Federal program that interfaces with UI SUITES to enable Federal Tax Intercept. TOP data is also copied into the CEDARS data warehouse.

TOP has considerable security restrictions for data, hardware, access and audit reports. Security actions allow UI to work with the IRS to intercept tax refunds for UI collectibles.

Output - The Notification of Intent to Intercept Federal (IRS) Income Tax Refund letters (one output from TOP).

GLDEP Extracts are IRS files received by UI that provide employer related information used as Tax and Benefit Collections and Employer Account Management Tools. Extracts include: BMF: Business Master File data; BRTF: Business Retention Transfer File data; Corporate Affiliation data; FEIN: Federal Employer Identification Number; Levy: Employer Bank Account data (Levy parties); Military Combat Zone data. GLDEP extract data exists in U:\Prod\UI\Data\IRS_FTI, in SUITES, and in paper for the Levy extract in very limited volume.

1099 data is stored and accessed via the proprietary 1099 Application.

RETENTION: EVENT (Completion of Federal Tax Information (FTI) audit and information stored in the TOP system) + 6 years and destroy confidential

00465A00. IRS FEDERAL TAX INFORMATION AUDIT LOGS EVT+7 DEST Y

Audit trail logging of IRS-supplied Federal Tax Information (FTI) is recorded every time FTI is created, a user accesses existing FTI, and when it is purged from the DWD network.

These logs contain a date/time stamp, the user who accessed the FTI, and details of what FTI was created/accessed/deleted. FTI occurs within the SUITES application, UI's 1099 application, the CEDARS data warehouse, the Centurion CARES ACD system and on one DWD shared network drive where FTI is stored.

IRS Federal Tax Information (FTI) has considerable security restrictions for data, hardware, access and audit reports.

Per IRS Publication 1075 (revision effective 9/30/16), FTI audit logs are required to be retained for 7 years. Records are now retained to meet the IRS requirement.
.
RETENTION: EVENT (Disposition of the Federal Tax Information (FTI) recorded on the log) + 7 years and destroy confidential

00468000. CHILD SUPPORT ORDERS FOR WITHHOLDINGS FROM BENEFIT PAYMENTS EVT+4 DEST Y

Child Support Orders received from the court with child support jurisdiction. Records are retained during the entire life in which the order is in effect and are the documentation used to support the withholding or benefit payments.

NOTE: No open order may be purged. Once the order is closed (superseded or completed), it may be purged after it meets the retention time period.

RETENTION: EVENT (After the court order closed date) + 4 years and destroy confidential

00475000. BENEFIT CLAIMANT DIRECT DEPOSIT AUTHORIZATIONS EVT DEST Y

Direct Deposit Authorizations allow UI to deposit UI Benefit Claimant checks into a claimant's specified bank account.

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

RETENTION: EVENT (New direct deposit request is received or death of claimant) and destroy confidential

00489000. UI BENEFITS ARCHIVED RECORDS EVT+15 DEST Y

Records related to UI Benefits data which are purged from application tables may be archived into separate, non-system archive tables. This data is used for research and statistical purposes and is not part of the UI Benefit Application System.
Records may include initial and weekly claim information, such as social security numbers, filing dates, separation reasons, recent

employers; answers to weekly claim questions, and claim dates.

NOTE: Archived data currently rolled off for two UI Benefit application system tables, specifically cc_image and client_info.

RETENTION: EVENT (Date archived) + 15 years and destroy confidential

00490000. IRS FTI USER ACKNOWLEDGEMENTS | EVT+5 | DEST | N

UI Staff with access to Federal Tax Information supplied by the Internal Revenue Service (IRS) are required to receive annual training and to sign an acknowledgement that they understand the IRS safeguard requirements.
Records are retained to meet the IRS requirement.

RETENTION: EVENT (Date cknowledgement is signed) + 5 years and destroy

00507000. BENEFITS OPERATIONS SELF-ASSESSMENT (BOSA) FILES | CR+4 | DEST | N

BOSA is a DOL/ETA mandated accountability program that focuses on assessing UI benefits operations with the goal of improving performance. BOSA evaluates operational capacity in addition to accuracy and timeliness while assuring that WI UI program is administered with a focus on both accountability and integrity. It also allows the state to showcase best practices, improvements and new innovations.

- The Self-Assessment Tool asks in-depth questions on 15 functional areas within UI benefits operations including claims, adjudication, benefit payment control, appeals, data validation and overarching operational matters
- Each functional area covers 9 operational elements including policies and procedures, training, workload and performance management, info technology and operational efficiency
- Evaluations are performed on a continual basis, audited yearly using a 12-month period

Records include questions and answers about functional areas being assessed. Reason for creation: new program added in 2017.

Reason for creation: new program added in 2017.

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 are electronically stored and the quality of these images is acceptable.
The input record will be destroyed confidentially 90 days after entry into the system and verified.

00279000. FOCUS GROUPS AND LISTENING SESSIONS - MATERIALS AND REPORTS | EVT+7 | DEST | N

Consists of material from focus groups and listening sessions with partners, other governmental agencies, and groups outside the Division which may include, but is not limited to, moderator's notes, discussion worksheets, evaluation, comment sheets or any other working papers; and reports summarizing results of these groups.

RETENTION: EVENT (Date of last event in sessions series) + 7 years and destroy

00284000. PROMOTIONAL MATERIAL | CR+1 | DEST | N

Material describing conferences and events offered by DET. May include flyers, posters, notices, mailings, and websites.

RETENTION: EVENT (Creation) + 1 year and destroy

00334000. WISCONSIN EMPLOYER AND JOB POSTINGS | EVT+3 | SHSW | N

Wisconsin employer and job posting records are maintained via the JCW Business (JCWB) and Job Center of Wisconsin (JCW) systems.

The Employer Record System (ERS) contains demographic and labor market information relating to over 150,000 employer sites in Wisconsin, including most employers covered by the Unemployment Insurance
System. Job Postings are displayed publicly in Job Center of Wisconsin, internally within JCW Business, and uploaded to U. S. Jobs and America's Job Exchange nightly.

An automated process runs a series of batch jobs monthly to purge or archive Employer and Job Order data which have met disposal requirements. Final deletion of the public Job Order data occurs the month following the monthly purge/archive process, which removes it from ERS and transfers the data to WHS, to allow time to validate a successful transfer of data between agencies. This subset of data is the record and is sent to the Wisconsin Historical Society in .csv format. Data elements include the following:

Job Order Number
Company Legal Name
Employer Trade Name
Alternate Trade Name
Address line 1, Address line 2
City, State, Zip Code, Zip +4
County Code
Job Title
Number of Openings
Work Week, Minimum Hours, Maximum Hours
Minimum Pay, Work Unit
Maximum Pay, Work Unit
Benefits, and Compensation Information

JCW Business is a secured web-based system written in VB.net and implemented October, 2005. JCW Business security is strictly enforced, and information can be accessed via the Internet by Job Center Staff and Department of Employment and Training (DET) Partner Agencies based on permissions granted by DET Security. JCW is a public-facing web-based system, implemented September 15, 2008. JCW security is maintained via on-line user logon/password account creation, and employer permissions granted through DET.

The three systems provide statewide comprehensive data about employers and job postings as well as links to job seeker data within ERS and from the Automated System Support for Employment and Training (ASSET) system (RDA00433) to allow the match of participants to job postings. Federal deliverables are electronically transmitted to Department of Labor (DOL) quarterly and an annual report is submitted via a secured DOL website. Retention requirements are described in 20 C.F.R. § 652(8) for federal reporting purposes.

Confidential Employer data is deleted immediately upon running of the monthly purge/archive process.

RETENTION: EVENT (Off JCW-No Reopen Status) + 3 years and transfer to State Archives (WHS)

00334C00. JOB CENTER OF WISCONSIN POSTINGS EVT+3 DEST Y

This job search information is specific to individual job seekers. Job seekers own the data. They enter it, update it, and may delete it. Examples may include, but are not limited to: resumes, cover letters, work applications, etc.

This record series contains confidential information per Wis. Stat. § 19.36(10).

RETENTION: EVENT (Expired status o Job Seeker self-deletion) + 3 years and destroy confidential

00439000. PROGRAM SURVEYS EVT DEST Y

Records consist of surveys on various subjects, where DWD has been assigned responsibility for conducting such surveys and analyzing the results.

Once the counted surveys are reconciled the survey forms can be destroyed since they have no further value.

Example surveys include:
- Survey of the State's Registered Nurses and Licensed Practical Nurses
- Dislocated Worker Survey

RETENTION: EVENT (After the date reconciled or batch job runs to delete surveys) and destroy confidential

00441000. PROGRAM SURVEYS - FINAL DATA FILES CR+10 DEST Y

Records consist of final data files extracted from completed surveys. Surveys are completed by workers in a variety of occupations (e.g. Registered Nurses and Licensed Practical Nurses) to provide a comprehensive profile of the current workforce; as well as by workers that have been, or will be, laid off from their employer.

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

00442000. FINAL SURVEY RESULTS EVT+10 SHSW N

Records consist of final reports analyzing the results of the surveys. The final results of some surveys are published in the biennial report to the State Legislature, some results are used for internal analysis and decision making.

Note: Copies of final publications may be transferred to the Wisconsin Historical Society any time after completion.

RETENTION: EVENT (After the date of publication of the final survey results) + 10 years and transfer to the Wisconsin Historical Society

00476000. SCREENING MATERIALS CR+1 DEST Y

RDA #	RDA Title	Retention	Disposition	PII

Material collected from job seekers prior to, or during, Job Fairs, Career Expos, and other employment events used to determine appropriateness for hire and/or eligibility to participate in the event.

May include, but is not limited to, resumes, scores to Department- administered tests, and professional credentials.

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

00477000. REGISTRATIONS — CR+1 — DEST — Y

Information submitted by businesses and/or attendees participating in DWD sponsored events.

Businesses may submit information about the business, names of staff attending, and general information about hiring goals. This series may also include correspondence with business representatives related to participation interest and goals.

Attendee information may include name, address, contact information, education information, and credit card information.

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

00478000. LABOR LAW TRAINING SEMINARS — EVT+2 — DEST — N

Educational seminars offered in person or as webinars which are open to the public and feature DWD staff explaining many of the laws and rules the agency administers. This series consists of presentations and handouts distributed to attendees. Topics include Labor Laws, Fair Employment, Worker's Compensation, Labor Standards, Unemployment Insurance and Employment and Training.

Program contact: Dom Tervalon, 608 267-7259

RETENTION: EVENT (Date of the seminar) + 2 years and destroy

00479000. CONFERENCE PLANNING AND HOSTING — EVT+2 — DEST — N

Planning for conferences including, but not limited to, Youth Apprenticeship forums, Apprenticeship Conferences, LVER Conferences, and workforce program conferences/roundtable events. Includes material related to logistics, catering choices, travel arrangements, scheduling, presentations, brochures, invitations, acceptances or regrets, notices, speaker arrangements, and facilities set up.

May also include correspondence with attendees/presenters, the conference facility, and staff involved in the conference.

RETENTION: EVENT (Date of the conference) + 2 years and destroy

Dept #: /701/ Department Name: DET ADMINISTRATOR'S OFFICE - WI FAST FORWARD

RDA #	RDA Title	Retention	Disposition	PII

00469000. GPA RELEASE, GPA'S, APPLICANT AND GRANTEE FILES — EVT+4 — DEST — Y

The GPA (Grant Program Announcement) is the way in which grant applications are solicited. Applications will be accepted, evaluated, and awarded under specific GPAs. GPAs are released in rounds together. Each GPA release includes a batch of GPAs, and each GPA includes a batch of applications/awards.

GPA Release File contents include, but are not limited to:
- Summary of GPAs in the round
- Reports concerning the aggregate of the applicants/awardees under the round
- Due diligence reports from other agencies concerning applicants under the round
- The instruction documents for the GPA round application

FPA File contents include, but are not limited to:
- Documents related to the research behind the final Grant Announcement Proposals
- Reports concerning the applicants under the GPA
- Data for the evaluation process of the GPA

Applicant and Grantee file contents include, but are not limited to:
Grant applications related attachments/addenda and associated working papers such as reviewer score sheet summaries; contracts and memos of understanding; grant award notices, grant approval letters, original and continuing applications, denial letters, etc.
- Records related to implementing individual grants: trainee reports including trainee SS#s, race ethnicity, gender, etc.; program assessments and evaluations, budget worksheets, purchase orders, expenditure/financial reports (except for financial reports defined in ADM00013), annual performance evaluations, program analyses, etc.
- Records related to evaluating and closing out individual grants: program evaluation, non-financial final reports, etc.
- Non-financial reports generated at the request of the secretary's office or administrators.

RDA #	RDA Title	Retention	Disposition	PII

- Non-funding related correspondence to and from the grantor and/or grantees (may include e-mail), performance reports, records regarding entities that perform the program's work, etc.
- An inquiry file, if there was one that led to that particular application.

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 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 (After GPA Release they are connected with is closed by the final closeout of the last grant associated with that GPA release and then destroy) + 4 years and destroy

00470000. INQUIRY FILES — EVT+4 — DEST — Y

The Inquiry Files document requests for information about the program and how the Office of Skills Development handled them. Inquiry files that result in an application will be included in the applicant/grant case file described in RDA469. This refers to inquiries that are closed through partner assistance, referral or short-term contact determining it is not appropriate to Wisconsin Fast Forward. This may include:
- Information about the business(es)
- Records of phone calls, emails, visits

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 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 (After end of fiscal year in which the file was closed) + 4 years and destroy

00501000. EMPLOYER PARTICIPANTS — EVT+0/3 — DEST — N

Employers post internships directly through the WisConnect or Job Center of Wisconsin (JCW) systems.

Records include profile information, including links to company websites, and internship openings.

Reason for creation: new program

RETENTION: EVENT (When employer account is deactivated) + 3 months and destroy confidential

00502000. COLLEGE STUDENT PARTICIPANTS — EVT+0/3 — DEST — Y

Students create a WisConnect account in order to:
- Access vital resources on how to search, apply, interview and prepare for an internship position.
- Search employers by company name and search internship opportunities by location.
- Upload portfolio items

Records include: resumes and other portfolio items such as references, cover letters, school information, major areas of study, etc. to market themselves to potential employers.

Reason for creation: new program

RETENTION: EVENT (When student account is deactivated) + 3 months and destroy confidential

00503000. CAREER SERVICE ADVISORS — EVT+0/3 — DEST — Y

Advisors search WisConnect for students from their university/college who have registered and created a WisConnect profile and for relevant internships posted by Employer Participants.

Records include the name, email address and/or telephone, and affiliated education system and institution of advisors.

Reason for creation: new program

RETENTION: EVENT (When account is deactivated) + 3 months and destroy confidential

Dept #: /730/ Department Name: BWITS

RDA #	RDA Title	Retention	Disposition	PII

00346000. QCEW EXTRACTS - FILE / DATA EXCHANGE — EVT — DEST — N

UI Administrative Data (Employer tax data) includes employer name, trade name, legal mailing address, employment, wage, ownership, predecessor, and successor information.

Note: Data are updated nightly during active tax-expo interface data exchange

RETENTION: EVENT (Superseded) + destroy confidential

00346A00. QCEW EXTRACTS - MAINFRAME GENERATION DATA GROUPS (GDG) | CR+0/6 | DEST | N

Nightly extract from UI Tax.

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

00346B00. QCEW MULTIPLE WORKSITE REPORTS | CR+2 | DEST | N

BLS Supplemental Reports (paper reports) are mailed quarterly to employers that meet "multiple worksite" criteria (e.g. employers with more than one worksite and which meet a minimum employment threshold). Employer completes and mails the report to the Division of Employment and Training (DET). Cover letters are reviewed annually by state, regional office, and national office. Electronic files sent by BLS are imported into the EXPO application.

RETENTION: EVENT (Creation) + 8 quarters and destroy confidential

00346D00. QCEW ANNUAL RE-FILING SURVEY (ARS) | EVT+3 | DEST | N

ARS surveys employers to verify industry and geography and to obtain multiple worksite report information. BLS vendor prints cover letters. Samples about 1/3 of the WI employer database each year, which is about 40-50,000 units surveyed annually. Includes paper Re-filing Survey and monthly electronic updates from DOL received through BLS' touch-tone telephone input.

RETENTION: EVENT (Form is received) + 3 years and destroy confidential

00346F00. QCEW HISTORY EMPLOYEE WAGE DATA DETAIL FILE - MAINFRAME AND W | CR+10 | DEST | N

QCEW creates a state specific detail file which is used to create a series of products for publication and distribution.

The detail file is also used to create confidential files which are distributed to internal customers and other state agencies.

Note: This detail file is based on the North American Industry Classification System (NAICS)

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

00346H00. QCEW UI / LMI REPORTS | CR+3 | DEST | N

Unemployment Insurance (UI) provides Domestic Employers, Transferred Business, Internet Employer Registration files and related reports created from the State Unemployment Insurance Tax Enterprise System (SUITES) to LMI for reference and assurance that SUITES processing is complete (Reference RDA339 UI-BTA). In addition, UI mails out DETI-14168 Wisconsin Employer Report to newly subject businesses. The businesses return the completed form to LMI to assign location and industry codes.

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

00346J00. LONGITUDINAL EMPLOYER-HOUSEHOLD DYNAMICS (LEHD) | CR+11 | SHSW | Y

QCEW program manager is the US Census LEHD technical liaison. Each quarter, confidential QCEW data (which is the current quarter Enhanced Quarterly Unemployment Insurance (EQUI)) and confidential current and prior Unemployment Insurance (UI) wage record data are transmitted to US Census. These data sets are created as a result of DWD mainframe jobs and are exported to a secure folder on a server for maintenance.

RETENTION: EVENT (Creation) + 11 years and transfer to the Wisconsin Historical Society

00346K00. QCEW OFFICIAL PUBLISHED OUTPUT | CR+25 | SHSW | N

These PDF products display state and county data by employment size cell or by the North American Industry Classification System (NAICS).

Note: Copies of final publications may be transferred to the Wisconsin Historical Society any time after completion.

RETENTION: EVENT (Creation) + 25 years and transfer to the Wisconsin Historical Society

00347C00. CES DETAIL FILES/INPUT FILES | CR+3 | DEST | Y

Electronic data files provided by BLS which include: employer information, survey details, estimate data, and benchmark data. Non-Covered Employment (NCE) data files are maintained by the state and include employer, wage, and hour information. Monthly NCE data is also provided to DWD from other agencies.

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

00347D00. CES REPORTS — CR+3 — DEST — N

Monthly and annual reports are generated for analysis and summary of the CES data and is distributed to both internal and external customers electronically.

RETENTION: EVENT (Creation) + 3 years and destroy

00348000. LAUS DETAIL FILES / INPUT FILES — CR+3 — DEST — N

Detail files are created from:
- Electronic data files provided by BLS
- Current Population Survey (CPS) data which is conducted by the Census Bureau and samples 60,000 households, with approximately 985 in WI
- Current Employment Statistics (CES) program data
- State Unemployment Insurance system continued claims and final payment data; and from other states

Data is imported into the web-based STARS and LAUS systems to create monthly LAUS estimates. These systems export data to DOL/BLS and for publication through the Workforce Information Database (WID).

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

00348A00. LAUS REPORTS AND FINAL PRODUCTS — CR+3 — DEST — N

Monthly and annual reports generated for analysis and distributed to both internal and external customers.

RETENTION: EVENT (Creation) + 3 years and destroy

00348E00. LAUS FOLDERS — CR+3 — DEST — N

Folders contain working documents and other confidential data (e.g. Unemployment Insurance data) and other data used/maintained by LAUS Program Manager.

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

00348F00. LAUS ANNUAL PROCESSING — CR+3 — DEST — N

Every year updated data (Ref. RDA348) becomes available and is incorporated into revised estimates. Annual Processing makes it possible to compare the original civilian labor force, employment, unemployment, and unemployment rate estimates with the more complete data sources.

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

00348G00. LAUS MONTHLY PROCESSES — CR+3 — DEST — N

Input files and data are processed via mainframe jobs, Access programs, and Excel macros.

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

00349000. OES CENTRAL OFFICE COLLECTIONS (COC) — CR+4 — DEST — Y

BLS Data Files. DOL Regional office data files that contain survey information gathered from large corporate businesses with multiple offices that choose to participate in the program in this way. The result is a small sampling of the total data collected.

Note: Data/ Estimates are confidential to protect the Employer and ensure low quality data is not published

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

00349C00. OES MASTER FILE — CR+4 — DEST — Y

Final data file downloaded from SPAM to create a master file that is sent to the Department of Labor (DOL). Contains raw microdata prior to suppression.

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

RDA #	RDA Title	Retention	Disposition	PII
00349D00.	OES SURVEY DATA COLLECTION	CR+4	DEST	Y

Twice a year, OES surveys are mailed to 5,000 selected WI Companies/Employers, a total of 10,000 surveys annually. Employers mail back surveys, e-file response from their computer file, or fax in their survey response to DET. If no response is received, technicians call employers to encourage participation; technicians may collect data over the phone.

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

00397000.	PROGRAM HISTORY FILES - MASTER DATA SETS	CR+25	DEST	N

Data sets stored in one secure location for program management and historical trend analysis purposes. Data may be received from either internal DWD sources or external sources such as US Census, US Department of Labor, and other state agencies.

Examples include, but are not limited to: Unemployment Rate and Labor Force Tables; Employment by Industry; Short- and Long-term Occupational and Employment Projections; Affirmative Action Data; Wages; Per Capita Personal Income; Regional and County Information; Wisconsin Economic Indicators (also called Leading Indicators).

If OEA needed to reproduce a public document (publication) from scratch, they would need the master data sets to do so.

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

00398000.	SUPPORTING DATA SETS	EVT	DEST	N

Data sets that an individual or a work team extracts from a program history file for any number of purposes such as preliminary analysis, snapshot queries and ad hoc reports.

RETENTION: EVENT (Superseded) and destroy confidential

00399000.	OFFICIAL PUBLISHED OUTPUT	CR+25	DEST	N

These electronic products are created by OEA and made available to the public.

They display such information as: Unemployment Rates for the State and Local Areas; Historical Unemployment Rates and Labor Force Estimates; County Workforce Profiles; Occupational and Employment Projections.

RETENTION: EVENT (Creation) + 25 years and destroy

00421000.	LEHD WAGE FILE CREATION	CR+3	DEST	Y

JM1852 (generation data groups (GDG)-mainframe files) created quarterly and sent via FTP to a secure Census Bureau URL.

Note: MOU agreement between WI DWD and the US Census Bureau for use of confidential WI DWD administrative records, dated 3/7/2003.

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

00421A00.	LEHD EQUI FILE CREATION	CR+3	DEST	Y

JM1864 (generation data groups (GDG)-mainframe files) created quarterly and sent via FTP to a secure Census Bureau URL.

Note: MOU agreement between WI DWD and the US Census Bureau for use of confidential WI DWD administrative records, dated 3/7/2003

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

00473000.	LEWIS ESTIMATES, BLS PUBLICATION FILES AND MICRODATA FILES	CR+4	DEST	Y

Annually, BLS creates a second final set (_allsupp) of suppressed data files that are processed in LEWIS at the State, MSA and BOS levels. The results are submitted to BLS for review. Approved SOC occupation, employment and wage estimates are then published and made available to the public. In addition, microdata files (.dat) are used to report and publish estimates at smaller geographic levels for Wisconsin.

Note: Copies of final publication may be transferred to the Wisconsin Historical Society

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

RDA #	RDA Title	Retention	Disposition	PII
00390000.	RAPID RESPONSE EVENTS TRACKING SYSTEM (RRETS)	EVT+25	DEST	Y

The Rapid Response Events Tracking System (RRETS) is a centralized information management system for dislocation (layoff) events in Wisconsin. Information captured for a layoff event includes records such as:
- layoff event details
- planned and actual rapid response services
- transition strategy

This information is used by division staff for compliance and monitoring, continuous improvement, federal reporting, and longitudinal analysis.

RETENTION: EVENT (Dislocation Event Status is marked "Closed" in tracking system) + 25 years and destroy confidential

00391000.	LIST OF LAYOFF NOTICES	CR+5	SHSW	N

A web page listing the business plant closing and mass layoff notices filed with DWD. The web page displays a table format for each calendar month that contains information about new layoff notices and updates to previously filed notices. The web page also links to a scanned image of the actual layoff notice filed with DWD (pdf format).

http://dwd.wisconsin.gov/dislocatedworker/warn/

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) + 5 years and transfer to the Wisconsin Historical Society

00392000.	RAPID RESPONSE REPORTS	CR+5	DEST	N

Rapid Response reports are created using a datamart that draws live information from Rapid Response Events Tracking System (RRETS). This data and related correspondence is used for internal and external reporting.

RETENTION: EVENT (Creation) + 5 years and destroy

00404000.	ELIGIBLE TRAINING PROGRAM LIST (ETPL) INSTITUTION	EVT+7	DEST	N

Records include provider federal employment identification number, provider address, provider description, point of contact, a standard user agreement for each provider, and information submitted to meet ETPL eligibility criteria.

RETENTION: EVENT (Termination of training provider eligibility) + 7 years and destroy

00429000.	STATE PLAN FOR WIOA PROGRAM	CR+10	SHSW	N

Includes U.S. Department of Labor (US DOL) approval letter, Governor's submittal, and the current state plan. This plan contains details on performance standards and procedures on how funds are allocated to the Local Workforce Development Boards. This series also may include waivers and federal approvals if requested and approved by the U.S. Department of Labor.

RETENTION: EVENT (Creation) + 10 years and transfer to the Wisconsin Historical Society

00431000.	WIOA ANNUAL REPORTS	CR+10	SHSW	N

Each state that receives an allotment under the Workforce Investment Act Section 127 (Youth Activities) or Section 132 (Adult and Dislocated Worker Activities) must prepare and submit an Annual Report of performance progress to the Secretary of the U.S. Department of Labor in accordance with the Act's Sections 136 and 185.

Summary information about program participants who receive funding under WIA are pulled from the ASSET application maintained by DWD.

RETENTION: EVENT (Creation) + 10 years and transfer to the Wisconsin Historical Society

00433000.	PROGRAM PARTICIPANT CASE RECORDS	EVT+7	DEST	Y

A base customer record is created for each program participant receiving assistance under the WIOA program. The record contains demographics, employment status, SSN, race/ethnicity, military status and age.

Supplemental information is also maintained on participants such as employment history, assessments, credentials and case notes, the specific grants provided under WIOA funding for the education and training services provided to participants and exit follow-up information.

Case records are tracked within the ASSET reporting system. Workforce Development Board staff and local service providers are required to enter participant information into the reporting system at the conclusion or exit from receiving an identified service.

Resumes reside strictly on JCW and are controlled by the applicant; they are not part of ASSET.

Employment Plans reside in the CEPT system and are available for program participants (WIOA Title 1 Dislocated Worker/Adult, Trade Adjustment Assistance, Wagner-Peyser, Office of Veterans Employment Services):
- Ability to create budgets, view UI information (if active claimant without blocker)
- Ability to perform career exploration functionality (this is also provided to the general public if registered on JCW)
- Ability to share information bilaterally with program staff/career planners who create, edit, and approve/acknowledge "sign off" on employment plans

Records may include approved/signed employment plans, budgets, self-sufficiency calculations, listing of favorite occupations, action steps in support of employment plans

WIOA Policy Update 07-05 dated May 24, 2007 establishes the requirement that all program participant files must be maintained for seven consecutive years after the participant exits from US DOL funded programs.

RETENTION: EVENT (Date participant exits the program) + 7 years and destroy confidential

00434000. PROGRAM PARTICIPANT COMPLAINTS EVT+3 DEST Y

Department of Labor regulations require that each state program has a complaint processing system. Complaints are not maintained as part of the ASSET application and include Civil Rights Compliance complaints.

RETENTION: EVENT (Complaint resolution) + 3 years and destroy confidential

00435000. WIOA PROGRAM POLICY AND PROCEDURES EVT+7 DEST N

Includes manuals such as the Workforce Program Guide; ASSET Guide: WIA Title 1 Performance Measure Map and other materials issued to assist DWD, WDBs and contractors comply with various administrative requirements.

Policy and procedures are based on DOL Training and Employment Guidance Letters (TEGLs), Training and Employment Notices (TENs), and other federal guidance.

RETENTION: EVENT (Date the procedures are superseded or obsolete) + 7 years and destroy

00443000. FIDELITY BOND REQUESTS AND APPROVALS / DENIALS EVT+3 DEST Y

Bonding representatives are assigned in each Job Service office. After an applicant registers with the Office and then receives a job offer with a specific start date, the Bonding Representative submits the paper work to the Job Service Central Office. The central office staff then requests that The McLaughlin Company issue the employer a Fidelity Bond insurance policy for 6 months covering the worker. The policy is underwritten through the Traveler's Property Casualty Insurance Company.

Between 20 and 50 bonds are issued statewide each year. To date there have been no claims in Wisconsin under the Fidelity Bonding program, nor has any fidelity bond requestor been denied bonding.

No information is entered into the Automated System Support for Employment and Training (ASSET) system about the individuals who obtain Fidelity Bonds.

PII and Program Contact: Glenn Olsen, 608-264-8164
Glenn.Olsen@dwd.wisconsin.gov

RETENTION: EVENT (Date the bond is issued) + 3 years and destroy confidential

00487000. WIOA MONITORING EVT+7 SHSW Y

WIOA mandates annual on-site program, fiscal, and equal opportunity monitoring of each local Workforce Development Board (WDB). Any findings, areas of concern, and positive practices are identified and compiled into a written report that is communicated to the Chief Elected Official (CEO) of each WDB annually. The WDB has 45 business days to respond to any findings and/or areas of concern. A closure letter is sent to the WDB after all corrective action has been identified and approved by DWD staff.

Records include division Civil Rights Compliance (CRC) plan requirements for recipients, as well as monitoring of Equal Employment Opportunity, Affirmative Action, and Limited English Proficiency plans.

RETENTION: EVENT (Date of closure letter) + 7 years and transfer to Wisconsin Historical Society

00496000. RAPID RESPONSE PROGRAM OUTCOMES CR+25 DEST N

Longitudinal analysis on the-outcomes (e.g. wages and duration of employment) of program participants vs. comparison groups for purposes of continuous improvement of and strategic planning for program services. The data is derived from source data and gathered into a data warehouse. These studies will help the State meet its evaluation requirements under WIOA, 29 U.S.C. § 3141(e).

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

Dept #: **/750/** Department Name: **WORKFORCE TRAINING**

RDA #	RDA Title	Retention	Disposition	PII
00504000.	**ELIGIBLE TRAINING PROGRAM LIST (ETPL) PROGRAM**	**EVT+7**	**DEST**	**N**

Records include program description, credentials earned, cost and course hours.

Reason for Creation: New training program application for ETPL; new RDA to better accommodate the records (was previously part of RDA404)

RETENTION: EVENT (Termination of training program eligibility) + 7 years and destroy

00505000.	**ELIGIBLE TRAINING PROGRAM LIST (ETPL) ALL-STUDENT DATA**	**EVT+7**	**DEST**	**Y**

Training institutions submit student data directly through the web- based portal for all training program participants.

Records include student identification data; as well as gender, race, and other demographic fields.

Reason for Creation: 20 C. F.R. § 677.230(a)(5) (2018) - New mandate by DOL to submit this data as part of ETP performance reports.

RETENTION: EVENT (Termination of training program eligibility) + 7 years and destroy confidential

Dept #: **/760/** Department Name: **JOB SERVICE**

RDA #	RDA Title	Retention	Disposition	PII
00291000.	**TRADE ADJUSTMENT ACT PROGRAM PARTICIPANT FILES**	**EVT+7**	**DEST**	**Y**

The Trade Act of 1974 provides special assistance for workers who lose their jobs or whose hours of work and wages are reduced as a result of increased foreign imports. The Wisconsin Divisions of Unemployment Insurance (UI) and Employment & Training (DET) act as agents of the U.S. Department of Labor in administering the Trade Adjustment Assistance (TAA)/Trade Readjustment Allowances (TRA) program.

TAA includes a variety of benefits and services to help workers prepare for and obtain new employment. It pays for the expense of job training, seeking work and relocating to accept new work. Workers may also receive extra weekly unemployment payments known as Trade Readjustment Allowances after all regular state unemployment insurance and other extended benefits have been paid.

The following documents represent types of records associated with the administration of this federal program and include but are not limited to: TAA Employability Assessment and Reemployment Plan (TAA-9258), TAA Training Contract (TAA-10), TAA Training Waiver (TAA-17006), TAA Financial Support Statement (TAA-16643), TRA Weekly Request for Allowances (TRA-858A), TRA Application for Completion Benefits (TRA-17444), and Training Benefits Application and Approval (TRA-16679). Additional documentation may include paystubs, school records, calculation worksheets, benefit checklists and correspondence.

Confidentiality:
- 20 C.F.R. § 617.57 requires TAA compliance with state UI confidentiality laws
- Wis. Admin. Code ch. DWD 149 requires confidentiality of certain UI records, which may also apply to certain TAA records
-5 U.S.C. § 552a, Federal Privacy Act of 1974

RETENTION: EVENT (After training completion and/or other services that constitute official participation in the TAA Program) + 7 years and destroy confidential

00405000.	**WOTC APPLICATIONS ELIGIBLE FOR CERTIFICATES AND WITHDRAWN CER**	**EVT+4**	**DEST**	**Y**

Consists of completed Internal Revenue Service (IRS) form 8850 and Individual Characteristics Form (ICF) Work Opportunity Tax Credit (Federal Department of Labor) form submitted by employers or on behalf of employers by their power of attorneys. The documentation of applications is completed Employment and Training Administration (ETA) Form 9065 Agency Declaration of Verification Results, Work Opportunity and Welfare to Work Tax Credits or comparable form or Form 9062, Conditional Certification Form, if completed and provided by participating agency such as Job Center staff.

Paper applications and withdrawn certificates are destroyed 3 months after they are scanned and verified.

RETENTION: EVENT (Date of certification or date of issuance of the determinations which do not result in Certification) + 4 years and destroy confidential

00406000.	**WOTC APPLICATIONS INELIGIBLE OR INVALIDATED APPLICATIONS-IMAGEI**	**EVT+1**	**DEST**	**Y**

Consists of completed IRS form 8850 and Individual Characteristics Form (ICF) Work Opportunity Tax Credit (Federal Department of Labor) form submitted by employers or on behalf of employers by their power of attorneys. The documentation of applications is completed ET A Form 9065 Agency Declaration of Verification Results, Work Opportunity and Welfare to Work Tax Credits or

comparable form or Form 9062 Conditional Certification Form if completed and provided by participating agency such as Job Center staff.

If the application is determined to be ineligible and either further action is needed or an appeal is pending, the records need to be maintained long enough to determine whether the application will be certified (RDA405) or remain ineligible (RDA406) and be maintained/moved to the appropriate RDA.

Paper applications are destroyed 3 months after they are scanned and verified.

RETENTION: EVENT (Date the application is deemed ineligible or after further action or appeal is completed) + 1 year and destroy confidential (Per ETA Handbook #408)

00407000. POWER OF ATTORNEY DELEGATIONS (POAS) — EVT+4 — DEST — Y

Consists of documentation of companies granting power of attorney authority by completing Form 2848, Power of Attorney and Declaration of Representative. This allows these organizations, for the stated time period, in the agreement to submit Form 8850's on behalf of employers.

When the Power-of-Attorney is properly filed, DWD is obligated to honor it and conduct WOTC business with the representative as though she/he were the employer. It is the responsibility of the DWD program management and not the IRS to track Powers of Attorney, whether or not the IRS Form 2848 is used, and make sure they are updated upon expiration. DWD program management is required to make all efforts to have valid and active POAs on file. The POAs are mailed, emailed, or uploaded by consultants into eWOTC.

RETENTION: EVENT (Date the POA expires) + 4 years and destroy confidential (Per ETA Handbook #408)

00408000. TECHNICAL ASSISTANCE AND COMPLIANCE REVIEWS — EVT+3 — DEST — N

Reports prepared by the US Department of Labor/ETA on Wisconsin's administration of the program. Includes checklists, findings and corrective action plans, if appropriate. These are identified as state records because the state as the entity reviewed would be expected to respond in a formal manner to any such compliance review.

RETENTION: EVENT (Date of issuance of final federal report) + 3 years and destroy

00417000. CASE FILE FOR EACH EMPLOYER — EVT+5 — SHSW — Y

A file is maintained each year for each employer in the State requesting to bring foreign workers into the US. Each year there are between 50-100 employers requesting the use of foreign labor in agriculture via the H- 2A visa program. An unknown number of temporary non-agricultural employers request temporary employees under the H-28 visa program. A case file is maintained for employers of both programs.

Components of the case file include, but are not limited to, both federal and state documentation such as:
- Completed Application forms required by US DOL for H-2A and H-28 programs, including the following: ETA 790, ETA 790 Attachments, ETA 9141 and ETA 9142.
- Instructions from the US DOL to DWD in relation to the application, including compliance with the federal regulations for the program that have been delegated to the state. These include advertising the open positions for US citizens to apply and inspection of the housing facilities to be provided to the agricultural workers.
- The completed job description and related information such as number of positions, work location, pay and minimum requirements that apply for the job as entered into the state's labor exchange, JobCenterofWisconsin.com (JCW).
- Correspondence between DWD and the US DOL and the employer or the employer's designated agent.
- Internal DWD correspondence requesting housing inspection and the resulting housing inspections, once completed, indicating that such housing is partially or fully certified for occupancy.

Resumes of referred U.S. applicants. Applicants apply to a state contact person in DWD who then forwards applications to the employers.

RETENTION: EVENT (Date that DOL either issues the final determination or disapproves the application) + 5 years and transfer to Wisconsin Historical Society

00418000. FOREIGN LABOR CERTIFICATION QUARTERLY ACTIVITY REPORT (FORM ET — CR+10 — DEST — N

A summary report prepared each quarter by DWD on foreign labor certification program activities submitted to the federal Department of Labor.

RETENTION: EVENT (Creation) + 10 years and destroy

00419000. STATEWIDE PREVAILING WAGE SURVEYS AND PREVAILING PRACTICE SUF — EVT+10 — DEST — Y

Prevailing wage surveys and prevailing practice surveys are performed by state staff to establish benchmarks of wages, benefits and ancillary services such as meals and housing provided to employees for comparable jobs by employers who do not use foreign workers. Such wages, benefits and ancillary services may vary by the type of work performed and within the agriculture sector, even by the type of crop that is being planted or harvested.

Paper surveys may be destroyed 60 days after they are scanned and verified.

RETENTION: EVENT (Completion of each prevailing practice survey) + 10 years and destroy

00445000. COMPLAINTS — EVT+5 — SHSW — Y

Per 20 C.F.R. § 658.410, the state agency shall establish and maintain a Job Service complaint system, documenting complaints and actions taken, including referrals.

MLE inspectors investigate complaints filed with the department pursuant to Wis. Stat. § 103.905.

Records include forms, reports and any related documentation, a list of actions taken, and records of related telephone calls, and are not limited to:
-ETA Form 8429
-DET Complaint Process Database
-Central Complaint Log

RETENTION: EVENT (Date of complaint resolution) + 5 years and transfer to the Wisconsin Historical Society

00446000. MONITORING ACTIVITIES — EVT+5 — SHSW — N

Per 20 C.F.R. § 653.108, state agencies shall monitor their own compliance with regulations in serving MSFWs. The State Monitor Advocate participates with USDOL and/or conducts ongoing review of the delivery of services and protections afforded to MSFWs by the state agency and local offices; and advises the state agency and local offices of problems, deficiencies, or improper practices in the delivery of services and protections and the means to improve such delivery.

Records may include notes from field visits, data reviewed, conclusions, and recommendations of the USDOL Regional or the State Monitor Advocate, and include, but are not limited to:
- USDOL or SMA Monitoring Report
- State's or local office's formal response
- Improvement Plan by state or local office to address findings
- Other documentation generated by Monitoring Activities

RETENTION: EVENT (Date that each monitoring report is completed) + 5 years and transfer to the Wisconsin Historical Society

00447000. US DOL QUARTERLY LEARS REPORT, ETA-5148 — CR+10 — DEST — N

Per 20 C.F.R. § 653.109, the state agencies shall collect data on MSFWs, including USDOL designated equity and service level indicators, agricultural clearance orders (including field checks}, MSFW complaints, monitoring activities, demographic information, etc. A summary of the data is reported quarterly in a database hosted by USDOL.

Records include. but are not limited to:
- LEARS Report, ETA-5148
- Supporting documentation

RETENTION: EVENT (Creation) + 10 years and destroy

00448000. FIELD CHECKS — CR+5 — DEST — N

Per 20 C.F.R. § 653.503, the state agency shall conduct random, unannounced field checks at a significant number of agricultural worksites to which Job Service placements have been made through the intrastate or interstate clearance system.

Records include, but are not limited to:
- Related forms
- Supporting documentation

RETENTION: EVENT (Creation) + 5 years and destroy

00449000. OUTREACH ACTIVITIES — EVT+5 — DEST — N

Per 20 C.F.R. § 653.107, the state agency shall operate an outreach program in order to locate and to contact MSFWs who are not being reached by the normal intake activities conducted by the local offices. Records include, but are not limited to, forms and documentation associated with planning and recording outreach visits made by outreach workers to MSFWs such as:
- Statewide and Local Outreach Plan
- Logs and tallies of daily contacts
- Pre and Post Season Reports
- Other documentation needed for follow-up activities

RETENTION: EVENT (End of growing season each year) + 5 years and destroy

00450000. REFERRALS OF POSSIBLE VIOLATIONS — EVT+5 — DEST — Y

Per 20 C.F.R. § 658.419, if a state agency employee observes, has reason to believe, or is in receipt of information regarding a suspected violation, the employee shall document the suspected violation and make an appropriate referral.

Records include, but are not limited to:
- Referral forms
- Documentation of the apparent violation

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

00452000. TECHNICAL ASSISTANCE MATERIALS EVT DEST N

Training and technical assistance information is developed by the state agency for staff, stakeholders and partners, job seekers, and other interested parties.

Records in this category may include, but are not limited to:
- Compliance information
- Recording and reporting Information

RETENTION: EVENT (When superseded or no longer needed) and destroy

00453000. MIGRANT LABOR CONTRACTORS EVT+10 DEST Y

Per Wis. Stat § 103.91 and Wis. Admin. Code Ch. DWD 301.05, all individuals who perform recruitment activities involving migrant seasonal farm workers must obtain a certificate of registration from DWD before commencing these activities. Migrant Labor Contractor's activities are monitored by DWD.

Records include forms, fees, documentation, and correspondence associated with registration and monitoring of migrant labor contractors in Wisconsin including, but not limited to:
- DWEM 5234 - Application for Migrant Labor Contractor Certificate of Registration
- DETM 5304 - DWD Migrant Labor Contractor Certificate
- DETM 5504 - Compliance Review and Orders
- Proof of Insurance
- WH-530- Application for a Farm Labor Contractor or Farm Labor Contractor Employee Certificate of Registration
- WH-514 Vehicle Mechanical Inspection Report
- DETM 5504 - Compliance Report & Orders

See Wis. Stat. § 103.90(4) and 103.91, and Wis. Admin. Code Ch. DWD 301.05.

RETENTION: EVENT (Date the recruiter no longer recruits MSFWs) + 10 years and destroy confidential

00454000. NON-STANDARD MIGRANT LABOR WORKER AGREEMENT / CONTRACT - AP EVT+10 DEST Y

Per Wis. Stat § 103.915 and Wis. Admin. Code Ch. DWD 301.06, employers who elect to use a form other than the standard work agreement made available by DWD must submit such proposed forms to the Department for approval prior to use.

Records include forms, documentation, and correspondence associated with obtaining DWD permission to use non-standard worker agreements including, but not limited to:
- Non-standard worker agreement/contract
- DWD approval of non-standard work contract

RETENTION: EVENT (Employer stops issuing the non-standard worker agreement/contract) + 10 years and destroy confidential

00455000. NON-STANDARD MIGRANT LABOR WORKER AGREEMENT / CONTRACT - NC EVT+2 DEST Y

Per Wis. Stat. § 103.915 and Wis. Admin. Code Ch. DWD 301.06, employers who elect to use a form other than the standard work agreement made available by DWD must submit such proposed forms to the Department for approval prior to use.

Records include forms, documentation, and correspondence associated with obtaining DWD permission to use non-standard work agreements including but not limited to:
- Non-standard worker agreement/contract
- DWD denial of request for approval of non-standard work contract

RETENTION: EVENT (Date of denial of the non-standard worker agreement/contract) + 2 years and destroy confidential

00456000. APPLICATION FOR PERMIT TO OPERATE A MIGRANT LABOR CAMP EVT+2 SHSW Y

Per Wis. Stat. § 103.92 and Wis. Admin. Code Ch. DWD 301.07, operators of migrant labor camps must submit to the Department on an annual basis an application and applicable fees for a permit to operate a camp. A separate application must be submitted for each separate
migrant labor camp that the camp operator maintains.

Records include forms, fees, documentation, and correspondence associated with obtaining DWD permission to operate a migrant labor camp including, but not limited to:

- DETM-4849 - Application for Permit to Operate a Migrant Labor Camp

Fees required to obtain the inspection are forwarded to the DWD Bureau of Finance and classified as financial source documents under the Fiscal and Accounting General Records Schedule (FIS00020).

RETENTION: EVENT (Date the application is signed by the camp operator) + 2 years and transfer to the Wisconsin Historical Society

00457000. MIGRANT LABOR CAMPS | EVT+10 | DEST | Y

The Department must register and inspect all migrant labor camps prior to operation and must monitor camps during operation to ensure that conditions comply with Wis. Stat. §§ 103.90-103.97 and Wis. Admin. Code Ch. DWD 301.

Records include forms, fees, documentation, and correspondence associated with migrant labor camps including, but not limited to:
- DETM 5085 - Inspection Report and Orders
- DETM 5085-2 Inspection Report and Orders - Camp Closing
- DWSM 5523 - Authorization for Camp Certification
- DWDM 5519 - Camp Capacity Checklist
- DETM 5024 - Camp Certificate
- Penalty Form - (for all violations) - no form number
- Employer Attestation of Correction of Violations
- Plans, blueprints, specifications, and DWD approval related to the construction of new labor camps

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

00458000. PAYROLL REVIEW INSPECTION REPORT AND ORDERS | EVT+10 | DEST | Y

Migrant Labor Enforcement Inspectors review MSFW employers' payroll records to ensure that wages are paid to workers in compliance with worker agreements/contracts, per Wis. Stat. §§ 103.90-103.13 and Wis. Admin. Code Ch. DWD 301.

Records include forms, documentation, and correspondence associated with payroll reviews including, but not limited to:
- DETM 5504 - Compliance Review Report and Orders
- Correspondence
- Payroll records
- Time cards
- Payroll spreadsheets

RETENTION: EVENT (Date the payroll review is conducted) + 10 years and destroy confidential

00459000. VARIANCES - APPROVED | EVT+10 | SHSW | Y

Per Wis. Admin. Code Ch. DWD 301.07 and 301.09, DWD may grant variances to the standards for migrant labor camps and field sanitation facilities required in the Administrative Code.

Records include forms, documentation, and correspondence associated with variance petitions and permits including, but not limited to:
- Documentation that substantiates the need for a variance in order to obtain beneficial use of an existing facility and to prevent a practical difficulty or unnecessary hardship
- Documentation of alternative health and safety measures implemented
- Documentation substantiating that the petition establishes equivalent protection which meets the intent of the applicable provision
- Conditions of the variance stipulated by DWD
- DWD variance approval

RETENTION: EVENT (Date the variance is no longer in effect) + 10 years and transfer to the Wisconsin Historical Society

00460000. VARIANCES - NOT APPROVED | EVT+2 | DEST | Y

Per Wis. Admin. Code Ch. DWD 301.07 and 301.09, DWD may grant variances to the standards for migrant labor camps and field sanitation facilities required in the Administrative Code

Records include forms, documentation, and correspondence associated with variance petitions and permits including, but not limited to:
- DWEM 5942 - Petition for Variance Application
- Documentation that substantiates the need for a variance in order to obtain beneficial use of an existing facility and to prevent a practical difficulty or unnecessary hardship
- Documentation of alternative health and safety measures implemented
- Documentation substantiating that the petition establishes equivalent protection which meets the intent of the applicable provision
- Conditions of the variance stipulated by DWD
- DWD variance denial
- Written appeals of variance applications denied by DWD
- Documents related to appeal reviews and hearings

RETENTION: EVENT (Date of denial of the variance or after further action or appeal is completed) + 2 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00461000.	FIELD SANITATION INSPECTION REPORT AND ORDERS	EVT+10	SHSW	Y

Employers who hire 6 or more migrant workers who are engaged in hand labor must provide sanitation facilities. DWD is responsible to ensure that field sanitation facilities are provided and must inspect those facilities to ensure they are kept clean and in sanitary condition.

Records include forms, fees, photos, documentation, and correspondence associated with field sanitation including, but not limited to:
- DETM-5085- Inspection Orders & Report
- DWEM 7598 - Field Sanitation Checklist
- Field maps
- Documentation verifying remedy of violations

RETENTION: EVENT (After the date of the field sanitation inspection) + 10 years and transfer to the Wisconsin Historical Society

RDA #	RDA Title	Retention	Disposition	PII
00462000.	PROVISION OF INFORMATION TO THE COUNCIL ON MIGRANT LABOR	EVT+10	SHSW	Y

Per Wis. Stat § 103.905 and Wis. Admin. Code Ch. DWD 301.02, DWD submits information relevant to Wis. Stat. §§ 103.90-103.97 and Wis. Admin. Code Ch. DWD 301 and an annual report on migrant labor activities to the Council on Migrant Labor.

Records include reports, statistics, documentation, and correspondence associated with migrant and seasonal farm workers including but not limited to the following:
- Annual Report
- Camp Status Report
- Population Report
- Critical indicators data
- Complaint Reports
- Employer lists
- Migrant Labor Contractor lists
- Agendas and minutes
- Member listings

RETENTION: EVENT (Date of issuance of the report) + 10 years and transfer to the Wisconsin Historical Society

RDA #	RDA Title	Retention	Disposition	PII
00498000.	ACT FINAL REPORT	CR+5	DEST	N

Content validation report that provides the results of an ACT WorkKeys Job profile (job analysis). Provides the employer with task lists and skill level necessary for a particular job.

These reports are entered into the external ACT system SkillPro®. DWD generates a final report and provides that to ACT and to the employer.

These records were discovered in an agency review of files.

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

RDA #	RDA Title	Retention	Disposition	PII
00499000.	WORKKEYS ANALYSIS FILES	EVT+5	DEST	N

Files are created during the job profiling process and may include notes regarding the:
- Client Contact and Tour
- Subject Matter Expert interview notes
- Initial Task List Preparation
- Task Analysis
- Skill Analysis

Final documentation is provided in the ACT Final Report.

These records were discovered in an agency review of files.

RETENTION: EVENT (When ACT final report is complete) + 5 years and destroy confidential

Dept #: I770I Department Name: APPRENTICESHIP STANDARDS

RDA #	RDA Title	Retention	Disposition	PII
00410000.	APPRENTICE APPLICATIONS AND CONTRACTS	EVT+60	DEST	Y

The application process is different for each type of apprenticeship. Applications may include an aptitude test, an interview with the

Committee, high school transcript, proof of graduation or equivalent, birth certificate, valid driver's license, and a recognized substance abuse test.

The categories of apprenticeship application and contract correspondence:
- Pending applications
- Active - assigned a sponsor
- Unassigned - contract suspended after unemployed 30+ days
- Completed
- Denied

Contracts include apprentice and sponsor names and signatures, departmental approval, sponsor contact information, parent signature (if apprentice is a minor), apprentice date of birth and social security number, occupation, and term of apprenticeship.

Reports and mailings are generated from the Oracle database via both the Bureau of Apprenticeship Information System (BASIS) client application and Apprenticeship web applications.

Long Term Retention Justification: The Bureau of Apprenticeship Standards views itself as providing a service for apprentices during their entire working career. An apprenticeship may begin when an individual is 16 and perhaps such an apprentice may work for 40 years. Since there is no practical way to know when an apprentice has died, retired or left the state, the simplest course of action is to retain these records for 60 years which can be reasonably assumed will span the career of program participants.

RETENTION: EVENT (Date the apprentice contract is completed) + 60 years and destroy confidential

00410A00. CANCELLED/DENIED APPRENTICE APPLICATIONS AND CONTRACTS EVT+10 DEST Y

The application process is different for each type of apprenticeship. Applications may include an aptitude test, an interview with the Committee, high school transcript, proof of graduation or equivalent, birth certificate, valid driver's license, and a recognized substance abuse test.

Contracts include apprentice and sponsor names and signatures, departmental approval, sponsor contact information, parent signature (if apprentice is a minor), apprentice date of birth and social security number, occupation, and term of apprenticeship.

This series covers denied applications and contracts that are canceled.

RETENTION: EVENT (Date the application is denied or the contract is cancelled) + 10 years and destroy confidential

00411000. APPRENTICESHIP SPONSORS EVT+10 DEST Y

A sponsor is any employer, organization of employees, association of employers, committee, or other person operating an apprenticeship program and in whose name the apprenticeship program is approved by the department.

This record series contains detailed information about employers including contact information, Unemployment Insurance account numbers, business details, any trade unions with employee members, and name and license numbers of any skilled workers and apprentices currently employed. It also includes the Affirmative Action Plan, compliance reviews, and selection procedures.

RETENTION: EVENT (Date the employer apprentice sponsor no longer participates as a sponsor) + 10 years and destroy confidential

00412000. APPRENTICESHIP COMMITTEES EVT+10 DEST Y

There are 15 active state trade and over 100 local apprentice committees. Committees are required to track affirmative action compliance within their respective trades. Affirmative Action compliance of committees is subject to further review by the BAS. Records in this series relate to the Committee's Affirmative Action compliance tracking.

RETENTION: EVENT (Date that a committee becomes inactive) + 10 years and destroy confidential

00412A00. OFFICIAL COMMITTEE BOOKS EVT+10 SHSW Y

Apprentice Training Representatives (ATRs) have the official Committee book, which contains:
- Current and Past Rosters of Voting Members
- Approved Committee Standards
- Selection Procedures
- Affirmative Action Plan for the Committee
- Correspondence with the Committee
- Committee Minutes

RETENTION: EVENT (Date that a committee becomes inactive) + 10 years and transfer to the Wisconsin Historical Society

00415000. EXCEPTIONS OR MODIFICATIONS RELATING TO EMPLOYMENT OF APPREN EVT+6 DEST Y

Effective January 1, 2010 per 2009 Wisconsin Act 28 DWD must post information about exceptions and modifications to any requirements in a contract for work performed on a state public works or highway construction project related to the employment of apprentices along with a detailed explanation of why the exception or modification was granted. However, the department may not post the name of the apprentice or any other personally identifiable information (PII).

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (Date of approval of exception or modification) + 6 years and destroy confidential

00484000. APPRENTICE COMPLETION AWARD PROGRAM — CR+10 — DEST — Y

The Bureau of Apprenticeship Standards is directed by law (2013 Act 57) to administer the Apprentice Completion Award Program (ACAP), which partially reimburses certain costs incurred during participation in a Wisconsin registered apprenticeship.

Records include:
Awards and Denials linked to apprentice contracts.

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

00485000. COMPLAINTS AND APPEALS — EVT+6 — DEST — Y

The Bureau of Apprenticeship Standards (BAS) investigates complaints and appeals received by the apprenticeship community.

A complaint is a question or request for assistance to solve a problem, or alleged problem, regarding any part of the apprenticeship program.

An appeal is a request made of the BAS for reconsideration of an action or a pending action. An appeal differs from a complaint by virtue of the fact the appeal causes the Bureau to review its actions, or pending actions, whereas a complaint results in the Bureau reviewing someone else's action(s).

An appeal may be the result of the Bureau's inability to resolve a complaint. Investigation and resolution files are maintained and contain comprehensive notes and relevant documents.

RETENTION: EVENT (Final resolution of complaint and any appeals) + 6 years and destroy confidential

Dept #: I771I Department Name: YOUTH APPRENTICESHIP

RDA #	RDA Title	Retention	Disposition	PII

00328000. STUDENT RECORDS — EVT+50 — DEST — Y

Material documenting the student's participation in the Youth Apprenticeship program. The series includes student registration, termination and change forms, competency checklist, skill standards checklist, classroom competencies, certification of occupational proficiency, Academic and Career Plan (ACP), Education and Training Agreement (DETW-9471).

Also tracked is school-related information such as grade, confirmed disability and associated Individualized Education Program (IEP) information, if the student is considered at risk, grade point average (GPA), estimated graduation date, high school name and district, participation in the High School Pupil Program including career cluster and reason student terminated participation (if applicable).

Employer data is also recorded in the student record including contact information, identification number, and mentor name.

Also includes program completion information and any certificate(s) issued.

The data is entered into YODA by Youth Apprenticeship Coordinators and Youth Apprenticeship staff members.

A 50-year retention is necessary for these records as they contain potential research material and documentation regarding program outcome from the beginning of the Youth Apprenticeship program in 1991.

RETENTION: EVENT (End of apprenticeship) + 50 years and destroy confidential

00463000. WISCONSIN YOUTH APPRENTICESHIP PROGRAM OPERATIONS DOCUMENT — EVT+7 — SHSW — N

This RDA covers all program manuals, development, resource materials, program marketing, and success stories written for the YA program including, but not limited to, the Program Operations Manual, School-To-Work Opportunities Act, Tech Prep, and Industry Partnerships. Manuals explain policy and procedures for the program(s) for which they are written. Development materials may include program detail and support information such as curriculum and other related materials.

RETENTION: EVENT (Material revised) + 7 years and transfer to the State Historical Society

RDA #	RDA Title	Retention	Disposition	PII
00098000.	COURT REPORTER STENOGRAPHIC NOTES	EVT+12	DEST	Y

Stenographic notes taken on proceedings at formal Worker's Compensation hearings. Stenographic notes are taken at all hearings and the record may need to be accessed if a transcript is requested by parties in litigation subsequent to the original hearing.

Information contained on stenographic notes includes:
- Date of hearing
- City where hearing held
- Name of presiding judge
- Name of applicant
- Name of employer
- Name of insurance carrier
- Name of witnesses
- Testimony of witnesses at hearings
- And other pertinent information

RETENTION: EVENT (Claim closed) + 12 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00126000.	WORKER'S COMPENSATION SELF-INSURANCE & DIVIDED INSURANCE FILE	EVT+50	DEST	Y

Self-insurance and divided-insurance under the Worker's Compensation Act, Chapter 102 of Wisconsin Statutes, and various Administrative Rules.

These records provide information about employers who applied for self-insurance privileges and the results (granted or not and why) of these applications. If employers are granted self-insurance/divided insurance, these employers are responsible for worker's compensation liabilities for a period longer than the 12-year statute of limitations that applies to employers with an individual insurance company Worker's Compensation Policy.

Cases may be reopened when the issue pertains to occupational disease/illnesses or traumatic injuries and would be subject to s.102.17(4) and s.102.66, Wis. Stats. Court decisions in these cases have ruled that the statute of limitations does not apply until the employee knows s/he has the illness or s/he dies. Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (s. 102.18(1)(b), Wis. Stats.).

Records include:
* Initial and renewal application
* Special orders
* Guarantees
* Deposit agreements/bonds
* Financial reports
* Annual reports
* Executive board resolutions
* Other related materials

RETENTION: EVENT (Employer is no longer self-insured) + 50 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00126A00.	WORKER'S COMPENSATION SELF-INSURANCE & DIVIDED INSURANCE REL/	EVT+50	DEST	Y

System files relating to self-insurance and divided-insurance under the Worker's Compensation Act, Chapter 102 of Wisconsin Statutes, and various Administrative Rules. These records provide information about employers who applied for self-insurance privileges and the results (granted or not and why) of these applications. If employers are granted self - insurance/divided insurance, these employers are responsible for worker's compensation liabilities for a period longer than the 12-year statute of limitations that applies to employers with an individual insurance company Worker's Compensation policy.

Cases may be reopened when the issue pertains to occupational disease/illnesses or traumatic injuries and would be subject to s.102.17(4) and s.102.66, Wis. Stats. Court decisions in these cases have ruled that the statute of limitations does not apply until the employee knows s/he has the illness or s/he dies. Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (s.102.18(1)(b), Wis. Stats.).

Records include:
* Initial and renewal application
* Special orders
* Guarantees
* Deposit agreements/bonds
* Financial reports
* Annual reports
* Executive board resolutions
* And other related material.

RETENTION: EVENT (Self insurance or divided insurance end date) + 50 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00126B00.	WORKER'S COMPENSATION SELF-INSURANCE COUNCIL MINUTES AND REL	EVT+50	SHSW	Y

The self-insurer's council is a five-member body appointed by the secretary of the Department of Workforce Development to assist and

advise on the administration of the self-insurance program.

The 1913 Wisconsin Statutes contained a provision that allowed the Department to exempt employers from their duty to purchase worker's compensation insurance if the employer could demonstrate that they had the financial ability to pay all claims arising from injuries occurring in their workplace. This provision created the self-insurance program; and, subsequently the Self-Insurer's Council. The Council plays an instrumental role in ensuring that those employers applying for self-insurance are financially viable. The Council also monitors, in conjunction with the division, the financial status of employers that are in the self-insurance pool.

Worker's Compensation Self-Insurers Council (SI Council) working papers, minutes, etc. These documents include records of Council meetings and study groups established by the Council. It is necessary to retain these records on site for such a lengthy time, because they are frequently used by staff or research and for historical reference purposes, to determine or remember the intent of previously enacted decisions, laws, and administrative rules.

Records contained in this series include:
1. Minutes of SI Council meetings and study groups
2. SI Council working papers
3. Background correspondence
4. Supportive policy and procedure/information
5. Department of Workforce Development correspondence
6. Other related materials

Records are maintained by the Worker's Compensation Division's (WCD) Madison Office located in Room C100, GEF-1, 201 E Washington Ave., Madison, WI. Records from 1982 to present are stored in one (1) drawer of a five (5) drawer metal file cabinet. WCD staff review SI Council records periodically. The records are stored in a safe, clean and temperature-controlled office environment.

RETENTION: EVENT (Document or record creation date) + 50 years and transfer to Wisconsin Historical Society

00127000. WORKERS COMPENSATION (WC) CLAIM FILES FOLDERS EVT+12 DEST Y

Documents of WC claims involving payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases. Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses).
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b).

Information on these files may include:
- Employee's name, address and social security number
- Employer's FEIN, name and address
- Employer's Insurance company FEIN, name and address
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Physicians' Report(s) (WKC-168 or equivalent)
- Application for Hearing (WKC-7 or equivalent)
- Reports of Violation (regarding safety and minors)
- Synopsis and transcript of hearing, and other pertinent information
- Second Injury and Children's Death Benefit Fund Documents

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

RETENTION: EVENT (Date last compensation (other than treatment or burial expenses) was paid) + 12 years and destroy confidential

00127B00. WORKERS COMPENSATION CLAIM RECORDS - INTEGRATED CLAIM MANAG EVT+12 DEST Y

Active and inactive computer records of worker's compensation claims beginning with 1987 and ongoing. The computer record is created from multiple sources including Internet Insurer Entry (i.e., Internet 12, Internet 13, Internet 13-A, Internet TPD (Temporary Partial Disability Worksheet), Internet Wage Worksheet or equivalent, State Connect on-line entry, and EDI (Electronic Data Interchange) submitted by insurance companies or self-insured employers.

Claims involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases. Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b).

Data contained in these records may include:
- Employee's name, address and social security number

- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Wage information
- Worker's Compensation payments to the injured employee
- Correspondence and medical documents relating to each claim
- Extent of disability involved in each claim
- Other related data

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

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 are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 2 months after entry into the system and verified.

RETENTION: EVENT (Date last compensation (other than treatment or burial expenses) was paid) + 12 years and destroy confidential

00127C00. PURGED WORKER'S COMPENSATION CLAIM RECORDS - PRGSKEL EVT+12 DEST Y

Purged computer records of worker's compensation claims beginning with 1987 and ongoing, including closed or reclosed claims. The original computer record was created from multiple source documents (i.e., WKC- 12, WKC-13, or equivalent) submitted by insurance companies or self- insured employers.

Claims involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases. Cases are closed or reclosed after all activity is completed and all claims in a "closed or reclosed" status are purged annually from computer database.

Cases may be reopened within a 12-year period from the last date compensation was paid.
- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b).

Data contained in these computer records may include:
- Employee's name, address, and social security number
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Wage information
- Worker's Compensation payments to the injured employee
- Correspondence and medical documents relating to each claim
- Extent of disability involved in each claim
- Other related data

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

RETENTION: EVENT (Date last compensation (other than treatment or burial expenses) was paid) + 12 years and destroy confidential

00127F00. WORKERS COMPENSATION CLAIM DOCUMENTS-IMAGED EVT+12 DEST Y

Document images and profile records on central storage disk for WC claims involving payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases. NOTE: Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b).

Information in these documents may include:
- Employee's name, address and social security number
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Reports of Violation (regarding safety and minors)
- Second Injury and Children's Death Benefit Fund documents
- Documents from a litigated case

Profile information for images contains the file locations and names of the corresponding documents stored in a database:

- Records are folder and document profile records consisting of WC Claim Number, Claimant Name, Date of Injury, Employer Name, Claimant Social Security Number and Claimant Zip Code.

Integrated Claim Management System (ICMS), imaged data and paper file folder purges should occur simultaneously.

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

RETENTION: EVENT (Date last compensation (other than treatment or burial expenses) was paid) + 12 years and destroy confidential

00127G00. WORKER'S COMPENSATION LITIGATED CLAIM DOCUMENTS - TO BE IMAGE EVT+3 DEST Y

Litigated claim documents received or generated which need to be imaged but will not be part of a paper file. Records involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Diseases}, Permanent Partial disabilities and disputed cases. Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b).

Information on these files may include:
- Employee's name, address, and social security number
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Reports of Violation (regarding safety and minors)
- Second Injury and Children's Death Benefit Fund documents
- Documents from a litigated case

This record series has been created to accommodate the request of the Department of Administration, Division of Hearings and Appeals, to maintain the paper records for 3 years after scanning.

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401

RETENTION: EVENT (Entered into system) + 3 years and destroy confidential

00128000. INSURANCE COVERAGE RECORDS EVT+50 DEST Y

Insurance coverage records filed under Chapter 102 and Section 331.37 of the Wisconsin Statutes. Documents indicate whether an employee is legally exempt or is claiming exemption from Worker's Compensation coverage.

Records include:
- Notice of Nonelection of Officer of Corporation
- Notice of Election of Officer of Corporation (WKC-63 and 63A or its equivalent)
- Employee's Partial Nonelection of Worker's Compensation Act (Epilepsy or Total Blindness)
- Employer's Nonelection or Withdrawal from the worker's Compensation Act (WKC-70 or equivalent)
- Employer's election not to be subject to Wisconsin Statute relating to Christian Science Treatment

RETENTION: EVENT (Business is closed or there is no longer an active non-election) + 50 years and destroy

00132000. WC 2ND INJURIES AND CHILDREN'S ADDITIONAL DEATH BENEFIT FUND EVT+7 DEST Y

Records generated from the Worker's Compensation administration of the WC Second Injury and Children's Additional Death Benefit Fund. The fund monitors the monthly payments for Second Injury and minor children of the deceased employee under Wis. Stat. §§ 102.49 and 102.59.

Records may contain:
- Claimant name, address and social security number
- Monthly & one-time payee name and address (FEIN if applicable)
- Name and Date of Birth for minors
- Listings and tabulations
- Worksheets
- Office Records
- Payment voucher and check number information
- Other related materials

Payees become inactive after the terminal payment has been made or when the WC Division orders a lump sum payment be made for the remainder of the balance.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (Terminal payment date or payee inactive date) + 7 years and destroy confidential

00133000. CIRCUIT COURT APPEAL FILES — EVT+12 — DEST — Y

Tracks cases appealed to a higher authority and contain the circuit court appeal memos from the Labor and Industry Review Commission and the Division Activity Log which includes:

* Claim number
* Plaintiff and defendant names
* County and case number assigned
* Appeal date
* Date WC court file sent and returned
* Court decision dates (stored in ICMS)
* Number of pages of transcript
* Cost billed to the plaintiff/date payment received
* Other related materials

RETENTION: EVENT (Claim closed) + 12 years and destroy confidential

00134000. HEARING CALENDARS — EVT+5 — DEST — Y

Computer-generated hearing calendars for Worker's Compensation cases heard by the administrative law judges, showing:
- Date, place/location, and time of hearing
- Parties involved
- Claim number
- Insurer name(s), by weeks scheduled for a particular administrative law judge and court reporter
- Other related materials

RETENTION: EVENT (Scheduled event date) + 5 years and destroy confidential

00135000. NOT REPORT MATTERS - INQUIRIES OR POTENTIAL CLAIMS FILE — EVT+2 — DEST — Y

Correspondence and reports with injured employees, employers, attorneys, doctors, etc., which may become potential claims or questions concerning the Worker's Compensation Act.

No claim file is created for these records.

RETENTION: EVENT (After date of last communication/correspondence between the WC Division and interested party) + 2 years and destroy confidential

00172000. WC ADVISORY COUNCIL FILES — P — PERM — Y

Worker's Compensation Advisory Council (WCAC) working papers, minutes, etc., used for the formulation of statutory law and administrative rule changes. These documents include records of subcommittees and study groups established by the Council. It is necessary to permanently retain these records on site because they are frequently used by staff and the public for research to determine or remember the intent of previously enacted laws and administrative rules as well as pending legislation and rules and retained for historical reference purposes.

Records contained in this series include:
* Minutes of WCAC meetings, subcommittees and study groups
* Legislative bill records/materials
* Fiscal notes of proposed legislation and administrative rules
* Background correspondence
* Administrative records/information
* Supportive policy and procedure/information
* WCD copies of administrative rules
* Proposed law changes
* Conference and other related messages
* Department of Labor correspondence
* Other related materials

These records are maintained in the Worker's Compensation Division's (WCD) Madison office located in Room C100, GEF - 1, 201 E Washington Ave, Madison, WI. Records from 1943 to 1985 are stored in four (4) drawers of a five (5) drawer metal file cabinet. Remaining records are stored on two (2) shelves of a three (3) shelf bookcase. WCD staff need to review WCAC records on at least a weekly basis. It would not be possible to administer Chapter 102 Wis. Stats., without access to these records. The records are stored in a safe, clean and temperature-controlled office environment.

Attorneys, representatives of unions, employee advocacy groups, insurers, employers, health care providers and other members of the public may request access to these records by contacting the WCD. The WCD provides access by allowing people to personally review records in a conference room (Room C106) located near the receptionist in the Madison Office during regular business hours from 7:45 AM to 4:30 PM, Monday - Friday.

Records must be reviewed or inspected under the supervision of WCD staff to ensure security. Requesters are not permitted to remove

these records from the WCD office. Anyone wishing to make copies of records may do so under the supervision of WCD staff on a coin operated copy machine available for that purpose.

RETENTION: Permanent

00175000. LICENSE HOLDER FILES — EVT — DEST — N

Licenses to appear before the department under provisions of the Worker's Compensation Act, s. 102.17(1)(c), Wis. Stats. and DWD 80.20 of the Wisconsin Administrative Code.

Records contained in this series include:
- Name, age and other pertinent information about the applicant as required by law
- Applications for License, WKC-34, or its equivalent
- Applications for Permit to Appear, WKC-35 or its equivalent

RETENTION: EVENT (Superseded) and destroy

00177000. INSURANCE BULLETIN LETTER FILES — CR+3 — DEST — Y

Letters going out to Wisconsin Compensation Insurance carriers and self-insured employers regarding changes in Worker's Compensation Laws/Rules/Policies.

Records contained in the series include:
- Promptness of first payment letter
- Assessment letters
- Wage and rate charts
- Emergency rule relating to the necessity of treatment resolution process
- Statutory changes
- Reimbursement of supplemental payments and payment adjustments

RETENTION: EVENT (Creation) + 3 years and destroy

00216000. WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND UNCOLLECTIE — EVT+10 — DEST — Y

WC Division Uninsured Employer's uncollectible accounts receivable case files.

Records are hard copy documents of WC Employer Files involving penalties assessed by the Uninsured Employers Unit for violations under s. 102.82(a), Wis. Stats. of the Worker's Compensation Act. Case files are closed after an investigation determines the account to be uncollectible. Cases may be reopened if the business is reactivated, reorganized, or comes out of bankruptcy with collectible assets.

Information contained in a filed may include:
* Collection correspondence, correspondence from employer/employer representatives, insurance companies, the Wisconsin Compensation Rating Bureau, the Office of the Commissioner of Insurance, the Governor's Office, the DWD Secretary's Office, legislators, the WC Administrator, bureau director and section chief
* Assorted investigator correspondence (E-3, WKC-53, WKC-175, WKC-175-f, E-20, E-20-f, C-1, E-24, E-32, Gl-63, or their equivalents)
* Assorted reports (employer lapse, employer insurance risk) and orders (closure)
* Payment plan agreement and account statement history
* All other pertinent information

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

00217000. WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND CLOSED CASE — EVT+3 — DEST — Y

WC Division Uninsured Employer's Fund Closed Case Files of paid or rescinded penalty account case files.

Records are hard copy documents of WC Employer Files involving penalties assessed by the Uninsured Employers Unit for violations under s. 102.82(a), Wis. Stats. of the Worker's Compensation Act. Case files are closed after the penalty is paid in full or penalty is rescinded.

Information contained in a file may include:
- Collection correspondence, correspondence from employer/employer representatives, insurance companies, the Wisconsin Compensation Rating Bureau, the Office of the Commissioner of Insurance, the Governor's Office, the DWD Secretary's Office, legislators, the WC Administrator, bureau director and section chief
- Assorted investigator correspondence (E-3, WKC-53, WKC-175, WKC 175-F, E-20, E-20-F, C-1, E-24, E-32, GL-63, or their equivalents)
- Assorted reports (employer lapse, employer insurance risk) and orders (closure)
- Payment plan agreement and account statement history
- All other pertinent information

RETENTION: EVENT (Closed and entered into data system) + 3 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

00217A00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND INJURY CLAIM** **EVT+50** **DEST** **Y**

WC Division Uninsured Employer's Fund Claim Applications and required documentation filed by an injured worker must include relevant payroll checks, check stubs, bank records, wage statements, tax returns or other similar documentation to help determine whether their employee is liable for the injury. A claimant is also required to document any medical treatment, vocational rehabilitation services and other bills or expenses related to a claim.

UEF Claim Applications are entered into the UEF Claim Payments web application.

The Uninsured Employers Fund (UEF) pays worker's compensation benefits on valid claims filed by employees who are injured while working for illegally uninsured Wisconsin employee. When a compensable claim is filed, the UEF pays the injured employee worker's compensation benefits as if the uninsured employer had been insured.

UEF is funded through penalties assessed against employers for illegally operating a business without worker's compensation insurance. The penalties are mandatory and non-negotiable. In addition, the department pursues reimbursement from each uninsured employer of benefit payments made by the UEF under s. 102.81(1), Wis. Stats., to the employee of that uninsured employer or to the employee's dependents. The UEF uses aggressive collection action (including warrants, levies, garnishment and execution against property) to secure satisfaction of penalty assessments and reimbursement of claims paid by the fund.

The UEF applies only to injuries occurring on or after July 1, 1996. Uninsured Employers Fund claims filed for injuries occurring prior to July 1, 1996 are not valid and will be denied.

RETENTION: EVENT (Entered into data system and destroy confidential) + 50 years and destroy confidential

00217B00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) ACCOUI** **EVT+50** **DEST** **Y**

WC Division Uninsured Employer's Fund Accounts Receivable Levy and Warrant System. The CICS mainframe system contains data about UEF collections from illegally uninsured Wisconsin employers as assessed by the Uninsured Employers Unit for violations under s. 102.82(a), Wis. Stats., of the Worker's Compensation Act.

The Accounts Receivable System contains UEF penalty assessment, collection information and history.

In addition to the mainframe system, imaged documents of Warrant, Satisfaction and Void reports are stored on central storage disk. Profile information for images contains the file locations and names of the corresponding documents in the imaging system.

- Records are folder and document profile records consisting of the Year, Month and County. Images and profiles would be destroyed with the Investigation system data.

Mainframe and imaged data purges should occur simultaneously.

RETENTION: EVENT (Penalty is paid in full or penalty is rescinded and destroy confidential) + 50 years and destroy confidential

00217C00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) INVESTI** **EVT+50** **DEST** **Y**

The WC Investigation system contains data for creating and tracking Worker's Compensation insurance compliance investigations.

Records may include:
* Business name and address.
* Records of insurance coverage or lapse of coverage.
* Notes associated with the investigation.
* Assorted investigator correspondence (MC1, M90, NCE, E32, E70, E11, E60, WKC53, E33, E2-Farm, E20 or their equivalents)

Out-going correspondence from the WC Investigation system is imaged and stored on central storage disk. Profile information for images contains the file locations and names of the corresponding documents stored in the imaging system.

* Records are folder and document profile records consisting of the BIP Number, Investigation ID, Employer FEIN, Employer Name, Employer DBA and Letter ID. Images and profiles would be destroyed with the WC Investigation system data.

Investigation and imaged data purges should occur simultaneously.

RETENTION: EVENT (Penalty is paid in full or penalty is rescinded) + 50 years and destroy confidential

00217D00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) CLAIMS** **EVT+50** **DEST** **Y**

The UEF Payments system contains records related to Uninsured Employers Fund claims, including application information, claim payments, claim reserves, claims recoveries and UEF vendors.

Cases may be reopened within a 12-year period from the last date compensation was paid.

* All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses).
* Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Section 102.18(1)(b), Wis. Stats.).

NOTE: No retention limit on occupational disease claims or on traumatic injuries as defined in s. 102.17(4), Wis. Stats.

RETENTION: EVENT (Last compensation payment to injured worker) + 50 years and destroy confidential

00217E00. WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) CLOSUF EVT+50 DEST Y

The system contains basic information on closure files that have been referred to the Department of Justice (DOJ) for closure action due to non-compliance with the insurance requirements of the Worker's Compensation law.

Data consists of basic employer, referral and resolution information.

RETENTION: EVENT (Referral to DOJ) + 50 years and destroy confidential

00217F00. WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) REPORT EVT DEST Y

CICS mainframe batch jobs are run daily to refresh the system files. UEF Reports is used to generate monthly reports.

Note: Paper reports may be generated from these files. They are used as working documents and destroyed after use.

RETENTION: EVENT (Superseded) and destroy confidential

00217G00. WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) CLOSEI EVT+12 DEST Y

These are paper files created by the UEF's third party claims administrator (related to UEF claims filed with the WC Division). Records are hard copy documents of UEF-WC claims involving payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities, medical only and disputed and denied cases. Cases may be reopened within a 12-year period from the last date compensation was paid.
- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Section 102.18(1)(b), Wis. Stats.).

Information contained in a file may include:
- Employee's name
- Employer's name and address
- UEF Claim application
- Physician's reports
- Wage information
- Synopsis and transcript of hearing, and other pertinent information
- Claim investigation notes and documents
- Employer subjectivity investigation notes and documents
- Medical invoices
- Other pertinent claim information

NOTE: No retention limit on occupational disease claims or on traumatic injuries as defined in s. 102.17(4), Wis. Stats.

RETENTION: EVENT (Date last compensation (other than treatment or burial expenses) was paid) + 12 years and destroy confidential

00218000. WORKER'S COMPENSATION HEALTH COST DISPUTES CLAIM FILE-NECESSI EVT+0/3 DEST Y

Hard copy file folder documents for Necessity Disputes related to a litigated WC claim or those sent for review. The dispute arises when the insurance company does not pay what the provider has charged. The necessity disputes may go to an impartial review organization or panel of experts to determine if chiropractic or other medical treatment was necessary.

Information in these files may include:
*The dispute application including:
- Employee name and social security number
- Date of injury and/or treatment date
- Provider's name and address
- Insurance company name and address
- Employer name
- Type and date of service and CPT code
- Amount charged by provider
- Amount paid by insurance company
- Dispute amount

* Guide letter (GL92/GL97) notifying the insurance company of dispute
* Insurance company response to the GL92/GL97 and other correspondence on the dispute
* Order generated by WC

Some decisions on Necessity Health Cost Disputes will be made by the impartial review organization and panel of experts. WC Division holds disputes until a decision is made.

A Worker's Compensation litigated case must be settled/closed before any Health Cost Dispute can be processed.

RETENTION: EVENT (Imaged and image is verified) + 3 months and destroy confidential

00218C00. WORKER'S COMPENSATION HEALTH COST DISPUTES -NECESSITY-IMAGED EVT+12 DEST Y

Document images and profile records on central storage disk for Necessity Health Costs.

Information in these documents may include:
* The dispute application including:
- Employee name and social security number
- Date of injury and/or treatment date
- Employer name
- provider and insurance company names and addresses
- Database used, type and date of service and CPT code
- Amount charged by provider
- Amount paid by insurance company
- Dispute amount
* Guide letter (GL92/GL97) notifying insurance company of dispute
* Insurance company response to the GL92/GL97 and other correspondence on the dispute
* Order generated by WC

Profile information for images contains the file locations and names of the corresponding documents stored in a database.

* Records are folder and document profile records consisting of Dispute ID, Claimant Name, Date of Injury, Date of First Treatment, Employer Name, Social Security Number and Claimant Zip Code.

ICMS, imaged data and paper purges should all occur simultaneously.

Note: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in s. 102.17(4). Interlocutory order claims covered under RDA 401.

RETENTION: EVENT (Dispute closed) + 12 years and destroy confidential

00218D00. WORKER'S COMPENSATION HEALTH COST DISPUTES -NECESSITY-ICMS EVT+12 DEST Y

Main database records on ICMS involving payments for health costs. The dispute arises when the insurance company does not pay what the provider has charged. The necessity disputes may go to an impartial review organization or panel of experts to determine if chiropractic or other medical treatment was necessary.

Information may include:
* The dispute application including:
- Employee name and social security number
- Date of injury and/or treatment data
- Provider's name and address
- Insurance company name and address
- Employer name
- Type and date of service and CPT code
- Amount charged by provider
- Amount paid by insurance company
- Dispute amount
*Guide letters (GL92/GL97) notifying insurance company of dispute
*Insurance company response to the GL92/GL97 and other correspondence on the dispute
* Order generated by WC

Some decisions on Necessity Health Cost Disputes will be made by the impartial review organization and panel of experts.

WC Division holds disputes until a decision is made.

A Worker's Compensation litigated case must be settled/closed before any Health Cost Dispute can be processed.

RETENTION: EVENT (Dispute closed) + 12 years and destroy confidential

00219000. WORKER'S COMPENSATION HEALTH COST DISPUTE FILE FOLDERS-REASC EVT+0/3 DEST Y

Hard copy file folder documents for Reasonableness/Pharmacy Fee Disputes related to a litigated WC claim. The dispute arises when the insurance company does not pay what the provider has charged.

Information in these files may include:
* The dispute application including:
- Employee name and social security number
- Date of injury and/or treatment date
- Provider's name and address
- Insurance company name and address
- Database used

- Employer name
- Type and date of service and CPT code
- Amount charged by provider
- Amount paid by insurance company
- Dispute amount

* Guide letter (GL94) notifying insurance company of dispute
* Insurance company response to the GL94 and other correspondence on the dispute
* Order generated by WC

In order to make a decision the division needs a reply from the insurance company showing what database was used, and a reply from the health care provider with an explanation why some services were more complicated than others and a reason for making that payment. WC Division holds disputes until a decision is made.

A Worker's Compensation litigated case must be settled/closed before any Health Cost Dispute can be processed.

RETENTION: EVENT (Imaged and image is verified) + 3 months and destroy confidential

00219C00. **WORKER'S COMPENSATION HEALTH COST DISPUTES - REASONABLENESS** **EVT+12** **DEST** **Y**

Document images and profile records on central storage disk for Reasonableness/Pharmacy Fee Health Costs.

Information in these documents may include:
* The dispute application including:
- Employee name and social security number
- Date of injury and/or treatment date
- Employer name
- Provider and insurance company names and addresses
- Database used, type and date of service and CPT code
- Amount charged by provider
- Amount paid by insurance company
- Dispute amount

* Guide letter (GL94) notifying insurance company of dispute
* Insurance company response to the GL94 and other correspondence on the dispute
* Order generated by WC

Profile information for images contains the file locations and names of the corresponding documents stored in a database.

*Records are folder and document profile records consisting of Dispute ID, Claimant Name, Date of Injury, Date of First Treatment, Employer Name, Social Security Number and Claimant Zip Code.

ICMS, imaged data and paper purges should all occur simultaneously.

Note: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in s. 102.17(4). Interlocutory order claims covered under RDA 401.

RETENTION: EVENT (Dispute closed) + 12 years and destroy confidential

00219D00. **WORKER'S COMPENSATION HEALTH COST DISPUTES-REASONABLENESS/I** **EVT+12** **DEST** **Y**

Main database records on ICMS of documents involving payment for health costs. The dispute arises when the insurance company does not pay what the provider has charged.

Information in these files may include:
* The dispute application including:
- Employee name and social security number
- Date of injury and/or treatment date
- Provider's name and address
- Insurance company name and address
- Database used
- Employer name
- Type and date of service and CPT code
- Amount charged by provider
- Amount paid by insurance company
- Dispute amount

* Guide letter (GL94) notifying insurance company of dispute
* Insurance company response to the GL94 and other correspondence on the dispute
* Order generated by WC

In order to make a decision the division needs a reply from the insurance company showing what database was used, and a reply from the health care provider with an explanation why some services were more complicated than others and a reason for making that payment. WC Division holds disputes until a decision is made.

A Worker's Compensation litigated case must be settled/closed before any Health Cost Dispute can be processed.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (Dispute closed) + 12 years and destroy confidential

00219E00. **WORKER'S COMPENSATION HEALTH COST DISPUTE DOCUMENTS - TO BE I** **EVT+0/3** **DEST** **Y**

Hard copy documents received or generated which needs to be imaged but will not be part of a paper file folder. Records are related to payments for Necessity, Reasonableness and Pharmacy Fee Health Cost Disputes. The dispute arises when the insurance company does not pay what the provider has charged.

Information in these files may include:
*The dispute application including:
- Employee name and social security number
- Date of injury and/or treatment date
- Provider's name and address
- Insurance company name and address
- Database used
- Employer name
- Type and date of service and CPT code
- Amount charged by provider
- Amount paid by insurance company
- Dispute amount

* Guide letter (GL92/GL94/GL97) notifying insurance company of dispute
* Insurance company response to the GL92/GL94/GL97 and other correspondence on the dispute
* Order generated by WC

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

00342000. **WORKER'S COMPENSATION RELIGIOUS SECT EXEMPTION SYSTEM AND CC** **CR+50** **DEST** **Y**

Religious Sect Exemption system files and paper correspondence generated to employers regarding Religious Sect Exemption under s. 102.28(3), Wis. Stats.

RETENTION: EVENT (Exemption document creation date) + 50 years and destroy confidential

00343000. **WORKER'S COMPENSATION WRAP-UP PROGRAM AND RELATED RECORDS** **EVT+50** **DEST** **Y**

Records include the system files and other records related to the Wrap-Up project, including operational records such as the project safety plans and safety reports for construction projects where wrap up has been approved by the Worker's Compensation Division.

Wrap-ups occur only on large construction projects where all the contractors for a project are under one insurance policy for that which is being constructed instead of individual insurance coverage for each construction employee. Records in this series are also used to track employer's Worker's Compensation insurance coverage to ensure that employers and their covered employees are removed from the policy when they leave the project.

RETENTION: EVENT (End date of the divided insurance order) + 50 years and destroy confidential

00401000. **WORKER'S COMPENSATION INTERLOCUTORY FINDINGS, ORDERS, AND AW** **EVT+80** **DEST** **Y**

Documents of WC claims involving payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial Disabilities and disputed cases.

Within 90 days after the final hearing and/or *close of the record, the department shall make and file its findings upon the ultimate facts involved in the controversy, and its order, which shall state its determination as to the rights of the parties. Pending the final determination of any controversy before it, the department may in its discretion after any hearing make **interlocutory findings, orders, and awards, which may be enforced in the same manner as final awards.

Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b). The 80-year retention covers the potential lifespan of an individual with a claim.

Information in these files may include:
- Employee's name, address and social security number
- Employer's name, address and FEIN
- Employer's insurance company name, address and FEIN
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Physicians' Report in Lieu of Testimony (WKC-168 or equivalent)
- Application for Hearing (WKC-7 or equivalent)
- Reports of Violation (regarding safety and minors)
- Synopsis and transcript of hearing, and other pertinent information
- Second Injury and Children's Death Benefit Fund Documents
- Health Cost Disputes

Electronic document profile information for images contains the file locations and names of the corresponding documents stored in a database.

- Records are folder and document profile records consisting of WC Claim Number, Claimant Name, Date of Injury, Employer Name, Claimant Social Security Number and Claimant Zip Code.

Integrated Claim Management System (ICMS) imaged data and paper file folder purges should occur simultaneously.

*Close defined as "when hearing record is completed".

**Interlocutory defined as "pronounced or decided during the course of an action or suit and are temporary or provisional in nature."

NOTE: There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4).

RETENTION: EVENT (Case close date) + 80 years and destroy confidential

00403000. WORKER'S COMPENSATION INSURANCE COVERAGE INFORMATION AND C EVT+50 DEST N

Forms filed by Professional Employer Organizations (PEO) reporting worker's compensation insurance coverage information and coverage terminations for PEO clients as required under s. 102.31(2m)(a), Wis. Stats. and s. 102.315, Wis. Stats.

These are insurance coverage records for the Professional Employer Organization clients who may have claims arise in the future; disease claims may arise many years after the work is performed. The records must be maintained within the Worker's Compensation Division to determine client insurance coverage.

There is no confidential information on the forms related to employee names or social security numbers. The forms do include the PEO and client FEIN number.

Administrative Note:
This information was previously part of RDA #173 (Administrator's Division Operating Files) which was superseded by the DWD adoption of the statewide Administrative Record General Schedule.

RETENTION: EVENT (Coverage termination date) + 50 years and destroy

00437000. LEGAL RESEARCH CR+20 DEST Y

Case specific and topical legal research performed by the Workers Compensation Legal staff. Case specific legal research would also be filed in the specific case file for the WC claimant. Case specific legal research are confidential pursuant to s. 102.33(2)(b), Wis. Stats., because they reveal the name and perhaps other information about the injured employee. Topical legal research topics include but are not limited to Anthrax; Needle storage; and Undocumented Workers since these topics relate to the workers compensation program. In other words, the name of the injured employee is not included. This type of research is not confidential.

Administrative Note: These records are separate and distinct from Bill Analysis and Fiscal Note preparation of changes to the state WC law. These types of records are covered under an existing retention policy: BUDG006, Legislative Bill Analysis Files, with a retention of the current fiscal year and 14 back fiscal years (FIS + 14 years).

RETENTION: EVENT (Creation) + 20 years and destroy confidential

00438000. DATA ON CUSTOMARY AND REASONABLE CHARGES FOR MEDICAL SERVI CR+12 DEST N

In order to determine if charges for services provided under workers compensation claims are reasonable, the Department certifies databases. Database providers must submit an application in order to be considered for certification under s. 102.16(2), Wis. Stats. And DWD 80.72(8) of the Wisconsin Administrative Code. DWD 80.72(8)(b) of the Wisconsin Administrative Code provides that in the application to become to become certified the applicant databases shall clearly identify any trade secrets under s. 19.36(5), Wis. Stats., and that the Department will treat any information marked trade secrets as confidential and shall use it solely for the purpose of certification and shall take appropriate steps to prevent its release. These databases are confidential, not available to the general public and must be purchases from the database providers.

For hospital radiological services the Worker's Compensation Division created and maintains a separate database. The State of Wisconsin-Hospital Radiology Database is not confidential, is in the public domain and is on the WC website.

The fees in the database are to accurately reflect the amounts charged by providers for health care services rather than the amounts paid to or collected by providers, and the information in the data bases is to be up-dated and published/distributed at least every six (6) months.

RETENTION: EVENT (Creation) + 12 years and destroy confidential

00472000. CENTERS FOR MEDICARE AND MEDICAID SERVICES (CMS) CORRESPONDE EVT+80 DEST Y

During review of this functional schedule, Worker's Compensation management identified these records as not fitting under another series or General Schedule.

In 1980, the Medicare Secondary Payer (MSP) statute 42 C.F.R. §422.108 was enacted to protect the fiscal integrity of Medicare by

establishing that it is secondary to all other types of insurance. The purpose of Section 111 of the Medicare, Medicaid, and SCHIP Extension Act (MMSEA) of 2007, 42 U.S.C. 1395y (b)(8), is to make it easier for the federal government to enforce its rights under MSP.

The Worker's Compensation Division is a Responsible Reporting Entity under Section 111 because of the payments made out of the Work Injury Supplemental Benefit Fund (WISBF), Uninsured Employer Fund (UEF), and Self-Insured Employers Liability Fund (SIELF) to claimants who are Medicare Beneficiaries.

Every claimant who has a barred traumatic or occupational claim paid out of the WISBF, a claim paid out of the UEF, or a claim paid out of the SIELF needs to be reported to CMS to determine if the claimant is a Medicare beneficiary. If the claimant is a beneficiary then information related to the claimant's injury, Total Payment Obligation to the Claimant (TPOC) out of the WISBF, UEF, or SIELF, and whether or not the paying fund has Ongoing Responsibility for Medicals (ORM) needs to be reported to CMS. The reporting requirement can be one time (TPOC, no ORM, full and final compromise order), last 12 years or less (non-litigated UEF claims with a 12-year statute of limitations that do not re-open, limited compromise order for less than 12 years), or last the length of an interlocutory order (80 years).

Claims involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases (formal awards ordered by a WC Division or DOA, Division of Hearings and Appeals Administrative Law Judge).

Cases may be re-opened within a 12-year period from the last date compensation was paid or less than one year after a full and final compromise.
- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)

Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b). The 80-year retention covers the potential lifespan of an individual with a claim.

Records may contain:
- paper documents
- active and inactive computer records of worker's compensation claims in the Integrated Claim Management System (ICMS)
- document images and profile records on central storage disk (imaged documents)
- spreadsheets containing data output from batch jobs
- spreadsheets containing reporting notes related to the data output from batch jobs
- electronic copies of correspondence from/to CMS

Data contained in these records may include:
- Employee's name, address, social security number, and Medicare status
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Wage information
- Worker's Compensation payments to the injured employee
- Correspondence and medical documents relating to each claim
- Extent of disability involved in each claim
- Other related data

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

RETENTION: EVENT (Case close date) + 80 years and destroy confidential

00491000. WORKER'S COMPENSATION VOCATIONAL REHABILITATION SPECIALIST FII EVT+6 DEST N

Vocational Rehabilitation is a benefit under Chapter 102 of the Wisconsin Statutes and Wis. Admin. Code DWD 80.49 for certain workers injured on the job. These workers have the right to pursue services with a private rehabilitation specialist certified by the department (WC Division) if the Division of Vocational Rehabilitation cannot provide the necessary services.

An Initial certification application can be submitted at any time; certification renewal applications are submitted every three years. Vocational Rehabilitation benefits, in which a specialist might play a role, are pursued quickly and the maximum dollar amount payable to the specialist is exhausted very quickly. Thus, there is no program need to keep the specialist files for the full 12 years from last date compensation (other than treatment or burial expenses) was paid, which is the normal retention lifespan for injury claim related data.

Specialist files include the WKC-10042 Private Vocational Rehabilitation Specialist Certification Application; WKC-14448 Certification Renewal Request; and a list of specialists by name, address, and telephone number stored in an Access database.

Information in these files may include:
- Private rehabilitation specialist name, address, email address, telephone number, and employer name
- A list of certifications held
- Name, position, and telephone number of three professional references
- Academic qualifications
- Vocational rehabilitation employment history

RETENTION: EVENT (Date of initial or renewal application submission unless superseded by a subsequent renewal application containing the same information as the previously submitted applications) + 6 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00492000.	DATA OUTPUT FROM THE BI-WEEKLY MATCHING OF DIVISION OF VOCATIO	EVT+1	DEST	Y

Vocational Rehabilitation is a benefit under Chapter 102 of the Wisconsin Statutes and Wis. Admin. Code DWD 80.49 for certain workers injured on the job. These workers have the right to pursue services with a private rehabilitation specialist certified by the department (Worker's Compensation Division) if the Division of Vocational Rehabilitation (DVR) cannot provide the necessary services. The method of identifying injured workers in this situation is to match DVR's Closed Order of Selection (OOS) list to the claimant data in ICMS.

Files used/obtained include DVR's Closed OOS spreadsheet, ICMS claimant records, and Crystal Report output.

Information in these files include:
- DVR client last name, first name, social security number, date of birth, determined client eligibility date, and Integrated Rehabilitation Information System (IRIS) ID
- Employee (i.e. DVR counselor) name and telephone number
- ICMS claimant last name, first name, social security number, date of birth

RETENTION: EVENT (Date of the data match and report output) + 1 year and destroy confidential