

485-VETERANS AFFAIRS

RDA #	RDA Title	Retention	Disposition	PII
<u>00045000.</u>	<u>MEMBER MEDICAL RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
<p>Retention and requirements for this records series is covered by Wis. Admin. Code DHS § 132.45.</p> <p>These records contain the medical history of members from entry in a Veterans Home until death or discharge. The medical records contain clinical information (i.e. personal/legal information, care plans, doctor's orders, nurse notes, diagnostic and ancillary history, wellness plans, rehabilitation, dietary needs and activities.).</p> <p>New medical documents are now scanned into our Electronic Medical Record system. 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]. WDVA IS-403 Record Management Policy also reflects the procedures to follow.</p> <p>Older paper medical files will follow the same process as the new medical files.</p> <p>Box 16 Confidential Content: The release of confidential information which may be included in medical record documents are protected by Wis. Stats. §§ 45.04 and 146.82(1). Patient health care records are also protected by the Health Insurance Portability and Accountability Act of 1996 (HIPAA). See 42 U.S.C. § 1320d-2 and 45 C.F.R. pts 160 and 164.</p> <p>RETENTION: EVENT (Date of death or discharge) + 5 years and destroy confidential</p>				
<u>00068000.</u>	<u>DENTAL SERVICES RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
<p>This record series is mandated by Wis. Admin. Code DHS 132.45(5)(h) and retention set by Wis. Admin. Code DHS 132.45(4)(f)1. The series contains information on dental services for Veterans Home members including member dental diagnosis x-rays and treatments.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.</p> <p>RETENTION: EVENT (Date of demise or discharge) + 5 years and destroy confidential</p>				
<u>00068A00.</u>	<u>DENTAL SERVICES RECORDS - DISCHARGED</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
<p>This record series is maintained in accordance with DHS 132.45(4)(b), 132.45(5)(b) and HIPAA 45 CFR 164.53(j)(2) and contains information on dental services for members of the Home. Records include member dental diagnosis, xrays and treatment. These records are maintained while the member resides at the Home and 6 years from the date of discharge.</p> <p>RETENTION: EVENT (Date of discharge) + 6 years and destroy confidential</p>				
<u>00069000.</u>	<u>COMMANDANT ADMINISTRATIVE RECORDS</u>	<u>CR+6</u>	<u>SHSW</u>	<u>Y</u>
<p>This record series contains incoming and outgoing correspondence relating to the operations of the Veterans Homes including status operational reports from the various bureaus, status of employees and members, construction, facility and various other management and statistical reports. The information compiled in this series is administrative in nature and contains a mix of reference material and reports utilized by the commandants to manage the day-to-day operation of the Veterans Homes.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records . See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.</p> <p>RETENTION: EVENT (Creation) + 6 years and transfer to State Archives (WHS)</p>				
<u>00070000.</u>	<u>VETERANS HOMES - SPECIAL FUNCTIONS</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
<p>This series covers special function requests such as annual picnics, dinners and parties at the Veterans Homes. These records may include the function order sheets, information concerning the preparation for the event, number of people that will attend, amounts of food required and types of food to be used.</p> <p>Medium for records storage may vary at different Veterans Homes. Retention is set by Wis. Admin. Code DHS 132.45(4)(f)1.</p> <p>RETENTION: EVENT (Creation) + 2 years and destroy</p>				

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00071000.</u>	<u>DIETARY WORK PRODUCTION</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
	<p>This series is mandated by Wis. Admin. Code DHS 132.45(6)(b) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. This series contains schedules for cooks and service staff, created and used by the food production managers at the Veterans Homes. These records may be referenced for special function meals pricing.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>RETENTION: EVENT (Creation) + 2 years and destroy</p>			
<u>00073000.</u>	<u>MENUS AND THERAPEUTIC DIETS</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
	<p>This series is mandated by Wis. Admin. Code DHS 132.45(6)(a) & 132.63(4) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. This series contains individual member nutritional assessments. Menus are created from the information to meet needs based on Diabetic, General, or Renal diets. Menus are not specific to individual members but are adapted to the members needs and reflect breakdown of the meals such as caloric intake.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.</p> <p>RETENTION: EVENT (Creation) + 2 years and destroy confidential</p>			
<u>00077000.</u>	<u>MEMBER PHARMACY RECORD</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	<p>This record series is mandated by Wis. Admin. Code DHS 132.45(5)(c)4.c. and 132.60(5) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. This series contains:</p> <ul style="list-style-type: none"> - Resume of member medications and treatments - Pharmacy order sheets - Pharmacy order sheets (schedule 2 drugs) - Pharmacy order sheets (schedule 3, 4, and 5 drugs) - Physicians telephone orders - Admission application <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.</p> <p>RETENTION: EVENT (Date of demise or discharge) + 6 years and destroy confidential</p>			
<u>00078000.</u>	<u>PHARMACY PHYSICAL INVENTORY</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
	<p>This record series is mandated and retention set by Wis. Admin. Code Phar 8.02. This series contains the biennial physical inventory of all schedule II, III, IV, and V controlled substances.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>RETENTION: EVENT (Creation) + 5 years and destroy</p>			
<u>00079000.</u>	<u>PHARMACY BULK MEDICINE SUPPLY ORDER (OVER THE COUNTER MEDICINE)</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
	<p>This record is maintained in accordance with DHS 132.45(45)(f) , 132.65 and HIPAA 45 CFR 164.53(j)(2). These records contain the bulk supply medical order for over the counter medicines only. The record indicates who the medicines are ordered for, types of medicines ordered, amount ordered, who filled the order, delivered by whom and who received the order at the nursing station.</p> <p>These records are maintained for a period of 2 years.</p> <p>RETENTION: EVENT (Creation) + 2 years and destroy confidential</p>			
<u>00080000.</u>	<u>CONTINGENCY KITS (NON-CONTROLLED DRUGS)</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
	<p>This record series is mandated by Wis. Admin. Code DHS 132.65(5) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. This series contains the non-controlled drugs for the contingency kits or Pyxis machines at nursing stations. Information includes amounts distributed, date, time, member name, room, doctor, dose, who administered the medicine and the amount left.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis.</p>			

Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

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

<u>00081000.</u>	<u>PROOF OF USE FOR CONTROLLED SUBSTANCES</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	--------------------	--------------------	-----------------

This record series is mandated by Wis. Admin. Code DHS 132.65(6)(e) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. Records contain a proof of use record for all controlled substances and show member name, building, room number, drug issued, doctor, prescription number, amount, date, time, dose, amount left and who administered. Type II substances are maintained separately.

Medium for records storage may vary at different Veterans Homes.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

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

<u>00082000.</u>	<u>PRESCRIPTION RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
-------------------------	------------------------------------	---------------------	--------------------	-----------------

This record series is mandated by Wis. Admin. Code Phar 7.05 with retention set by Wis. Admin. Code Phar 7.05(1)(m) and DHS 132.45(4)(f) 1. Retention set to start at last fill date so there is no confusion for any prescription that has numerous refills.

This series contains the record of the prescriptions ordered by a medical doctor or registered nurse for use by members at the Veterans Homes. Prescriptions are entered into the pharmacy computer system and a monthly report is created.

Type II controlled substances are maintained separately.

Medium for records storage may vary at different Veterans Homes.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

RETENTION: EVENT (Date last filled) + 5 years and destroy confidential

<u>00083000.</u>	<u>NURSING STATION REVIEWS</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---------------------------------------	--------------------	--------------------	-----------------

This record series is mandated by Wis. Admin. Code DHS 132.45(5)(b)2c, 132.45(5)(c)4c and 132.60(5) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. This series contain the nursing station review of the medications prescribed by the physician. The reviews are completed by a pharmacist or the pharmacist and RN on duty, depending on location.

Medium for records storage may vary at different Veterans Homes.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

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

<u>00092A00.</u>	<u>CLINICAL X-RAYS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
-------------------------	-------------------------------	---------------------	--------------------	-----------------

This record series is mandated by Wis. Admin. Code DHS 132.45(5)(i) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. This series contain x-ray films and unsigned reports dictated by the radiologist.

Medium for records storage may vary at different Veterans Homes.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

RETENTION: EVENT (Date of demise or discharge) + 6 years and destroy confidential

<u>00094000.</u>	<u>HEALTH CARE COMMITTEE MEETING MINUTES</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---	--------------------	--------------------	-----------------

These committee meeting minutes are maintained per DHS 124.08 and HIPAA 45 CFR 164.53(j)(2) for the monthly Health Care Committee meeting. The committee is made up of a staff member from each bureau of the Home that provides health care. Laundry and materials management staff are excluded.

The minutes contain information from discussions of health care issues such as accident and incident reports, vaccinations and immunization of staff, hepatitis, flue, virus, status of Home activities, report forms, procedures, environment and equipment needs. New procedures are fielded and drafts are discussed.

Original minutes are maintained for 3 years. Copies held by committee members should not exceed a 1 year retention.

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

<u>00095000.</u>	<u>INFECTION CONTROL COMMITTEE MEETING MINUTES</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---	--------------------	--------------------	-----------------

These committee meeting minutes are maintained per DHS 124.08 and HIPAA 45 CFR 164.53(j)(2) and contain input and discussion of infections, which includes particular incidents. The committee will investigate, try to establish the cause, look for common source of outbreak and discuss ways to prevent future outbreaks. The committee will recommend the appropriate policies and procedures to prevent future reoccurrence of infections. The committee composition includes, but is not limited to, medical, nursing, and laboratory staff and the physician.

Original minutes are maintained for a period of 5 years. Copies held by committee members should not exceed a 1 year retention.

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

<u>00099000.</u>	<u>QUALITY ASSURANCE SERIES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
-------------------------	--	---------------------	--------------------	-----------------

This record series is maintained in accordance with DHS 124.10 and maintains information relating to the inhouse reviews of procedures.

This program monitors and evaluates the quality of patient care and ancillary services of the Home on an ongoing basis. The program promotes the effective and efficient use of available health facilities and services consistent with patient needs and recognized standards of health care. The medical director and administrative staff review this program on a yearly basis and provide staff with improved policies and procedures.

This series is maintained for a period of 2 years from date of study completion.

RETENTION: EVENT (Study completion) + 2 years and destroy

<u>00102000.</u>	<u>MEMBER INCIDENT REPORTS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---------------------------------------	---------------------	--------------------	-----------------

These records are maintained in accordance with Wis. Admin. Code DHS 132.45(5)(c)4.b. This series contains information relating to incidents and/or accidents of members. This includes the time, place, details of incidents and/or accidents, action taken and any follow-up care. Original records are held by the Director of Nursing of each nursing care building.

Medium for records storage may vary at different Veterans Homes.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

RETENTION: EVENT (Final action taken) + 7 years and destroy confidential

<u>00103000.</u>	<u>NURSING ASSIGNMENT WORKLOADS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	--------------------	--------------------	-----------------

This record series is mandated by Wis. Admin. Code DHS 132.52(4) and 132.60(8) with retention set by Wis. Admin. Code DHS 132.45(4)(f) 1. This series provide the nursing assistants with a room-by-room assignment of work to be accomplished and what care should be provided to the member. The records document the care provided as well as identifying any specific problems. These records are maintained by the Director of Nursing.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

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

<u>00107000.</u>	<u>REFERENCE LABORATORY SEND OUT LOG</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---	--------------------	--------------------	-----------------

This record series tracks and documents specimens sent out to a reference lab. The series contains the patient name, type of test, name of reference lab, and the date results were returned.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

RDA #	RDA Title	Retention	Disposition	PII
	RETENTION: EVENT (Creation) + 2 years and destroy confidential			
<u>00112000.</u>	<u>OCCUPATIONAL AND PHYSICAL THERAPY REPORTS</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
	<p>This record series is mandated by Wis. Admin. Code DHS 132.45(5)(f) with retention set by Wis. Admin. Code 132.45(4)(f)1. This series is created from member notes including treatments given, evaluations, and progress. This series is used and maintained by unit supervisors to compile and report on the activities and accomplishments of the Occupational and Physical Therapy units. The information is compiled monthly and then consolidated into an annual report provided to the Home Administration.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.</p>			
	RETENTION: EVENT (Creation) + 2 years and destroy confidential			
<u>00114000.</u>	<u>MONTHLY REPORT FOR PHYSICAL THERAPY</u>	<u>FIS+2</u>	<u>DEST</u>	<u>N</u>
	<p>This record series is used and maintained by the unit supervisor to compile and report on the activities and accomplishments of the physical therapy unit during the past fiscal year. These statistics are collected monthly and then consolidated into an annual reports and a copy is given to administration.</p> <p>Records are maintained within the unit for the current fiscal year plus two additional fiscal years.</p>			
	RETENTION: EVENT (Fiscal) + 2 years and destroy			
<u>00117000.</u>	<u>INCIDENT REPORTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	<p>This record series contains reports relating to injury of unknown origin, member abuse, missing property, and neglect. Included in these records is the type of incident, description of incident, assessment of the member (both physical and cognitive), witness statements, who was notified, when notified and a supervisory summary of the incident with at least one follow up within 30 days with more follow ups if necessary.</p> <p>The reports are most often used by the nursing, security, and social services staff to assure the members safety; and to track problems or patterns so an investigation can be made and acted upon. These records are also reviewed by state and federal surveyors to assure compliance with state and federal regulations pertaining to the health and safety of the members.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.</p>			
	RETENTION: EVENT (Date of discharge or demise) + 6 years and destroy confidential			
<u>00130000.</u>	<u>NURSING DAILY RECORD</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
	<p>This record series is mandated by Wis. Admin. Code DHS 132.45(6)(b) with retention set by Wis. Admin. Code DHS 132.45(4)(f)1. This series contains a daily work schedule for each resident building. Employees are listed showing what building, floor and shift they are scheduled to work. Any changes to the schedule during the shifts are documented on the nursing daily record sheet.</p> <p>Medium for records storage may vary at different Veterans Homes.</p>			
	RETENTION: EVENT (Creation) + 2 years and destroy			
<u>00133000.</u>	<u>ADMISSION AND DISCHARGE RECORDS FOR DECEASED AND DISCHARGED</u>	<u>EVT+6</u>	<u>SHSW</u>	<u>Y</u>
	<p>This record series is mandated by Wis. Admin. Code DHS 132.52 and 132.53 with retention set by 45 C.F.R. 164.530(f)(2). The series contains documents containing information to member admissions and discharge.</p> <p>Medium for records storage may vary at different Veterans Homes.</p> <p>Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.</p>			
	RETENTION: EVENT (Date of demise or discharge) + 6 years and Transfer - State Archives (WHS)			
<u>00134000.</u>	<u>KEY ISSUANCE AGREEMENT RECORDS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
	<p>This record series contains agreements with staff, contractors and volunteers regarding issuance of keys at the Veterans Homes.</p>			

RDA #	RDA Title	Retention	Disposition	PII
	Medium for records storage may vary at different Veterans Homes.			
	RETENTION: EVENT (Separation/involvement with Homes end) + 2 years and destroy			
00141000.	<u>TEMPERATURE AND SANITATION RECORDS</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
	This records series consolidates past refrigeration and sanitation RDAs. This series may include water temperature records for dishwashers, food refrigerator temperatures, and sanitation records. It can also include notes on action taken related to temperature readings, if any.			
	Medium for records storage may vary at different Veterans Homes. Retention is set by Wis. Admin. Code DHS 132.45(4)(f)1.			
	RETENTION: EVENT (Creation) + 2 years and destroy			
00145000.	<u>PHARMACY RECORDS MEDICARE PART D</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
	This record series is mandated by 45 C.F.R. 423.505(d) which also sets retention period. The series contains filled prescriptions, Medicare Part D billing statements and patient care documentation (such as Pharmacist Drug Regimen Reviews).			
	Medium for records storage may vary at different Veterans Homes.			
	Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04, 51.30(4) and 146.82(1) as well as Wis. Admin. Code VA 1.10 and VA 6.02(11). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.			
	RETENTION: EVENT (Creation) + 10 years and destroy confidential			

Dept #: /001/ Department Name: VETERANS BENEFITS - VETERANS BENEFITS RESOURCE CENTER

RDA #	RDA Title	Retention	Disposition	PII
00004000.	<u>VETERANS BASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	Creation of a base file occurs upon receipt of a request for eligibility or benefits from the Department under Wis. Stats. § 45.03(1), or benefits from other Departments we provide eligibility certification for. Base files include documentation pertinent to the veteran, spouse, or dependent necessary to approve or deny eligibility for benefits under Wis. Stats. § 45.02. Base files maintain a permanent history of individual veterans' eligibility and benefits.			
	Base files can contain tax records, birth and marriage certificates as well as applications for benefits and all documentation regarding approval, disbursement, or denial of eligibility or benefits.			
	Base files presently exist in paper, microform, and electronic/digital formats. New base files have documents scanned into Smart Search Enterprise Content Management system. Images are verified following Wis. Stats. § 16.61(7), Wis. Admin. Code ch. Adm 12 and WDVA IS-403 Electronic Record Management policy. Each scan has to be accessible, accurate, and complete or redone until they are to allow for confidential destruction of source documents. Recalled older paper base files will follow the same process as the new base files.			
	Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04 and 146.82(1). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protect patient health care records (HIPAA). See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.			
	RETENTION: Permanent			
00015000.	<u>DEPARTMENT OF DEFENSE RECORD OF DISCHARGE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
	This record series consists of Federal Department of Defense discharge papers. The primary form is the DD-214. Some records will include the DD- 215 form (Correction to DD-214) and related documents such as medical exam reports.			
	Wisconsin Department of Veterans Affairs uses this record to establish the eligibility of Wisconsin veterans, their spouses or dependents for veterans program benefits administered at either the state (Wis. Stat. ch. 45) or federal level. The records contain name of veteran, other identifying information, dates of service, home of record, date and place of entry into service, date of separation, military occupation code, and place where separated to.			
	Retention is being returned to permanent as Base Files with other documents for eligibility are maintained on a permanent basis and due to the historical value of this record series. DD-214s and other discharge papers are a main part of eligibility determination, just retained outside of the base files. As DD- 214s are not just received with applications for benefits, DD-214s are maintained separately			

Dept #: /001/ Department Name: VETERANS BENEFITS - VETERANS BENEFITS RESOURCE CENTER

RDA # RDA Title Retention Disposition PII

from Base Files (RDA 4). WDVA is also contacted monthly by the National Archives seeking copies of Wisconsin veterans discharge papers lost in their fire and/or reconstructing veterans files.

DD214s presently exist in paper, microform, and electronic/digital formats. New DD-214/DD-215s are scanned into Smart Search Enterprise Content Management system. Images are verified following Wis. Stats. § 16.61(7), Wis. Admin. Code ch. Adm 12 and WDVA IS-403 Electronic Record Management policy. Each scan has to be accessible, accurate, and complete or redone until they are to allow for confidential destruction of source documents. Recalled older paper DD-214s will follow the same process as new DD-214s.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. § 45.04 and 146.82(1) and VA 1.10. The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records (HIPAA). See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

RETENTION: Permanent

00120000. REQUESTS FOR RELEASE AND/OR DISCUSSION OF VETERAN RECORDS CR+7 DEST Y

Requests for veteran records are maintained in accordance with Wis. Stat. § 45.04 and Wis. Admin. Code VA I .1 0 and document the release of each record requested.

Veterans Records include: Benefit applications with United States Department of Veterans Affairs (VA) or Wisconsin Department of Veterans Affairs (WDVA), VA or WDVA medical treatment records, VA or WDVA mental health records, Military separation records, Department of Defense (DOD) service records, or other records maintained by WDVA received from the VA or the DOD or created by WDVA.

Record requests can be received by fax, mail, or email. Records received in paper form will be converted to digital format and become the original record after conversion and verification of the converted record. Paper input records can be destroyed confidential after verification of converted original record.

Box 16 Confidential Content: The release of confidential information which may be included in veterans records are protected by Wis. Stats. §§ 45.04 and 146.82(1). Patient health care records are also protected by the Health Insurance Portability and Accountability Act of 1996 (HIPAA). See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

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

Dept #: /002/ Department Name: VETERANS BENEFITS - GRANTS

RDA # RDA Title Retention Disposition PII

00033000. VETERANS TRUST FUND GRANTS EVT+6 DEST N

This records series applies to all grants made by the Division of Veterans Benefits Grants Section under Wis. Stats. § ch. 45 and Wis. Admin Code ch. VA 2, 7, 8, 15 and 16. These grants are usually made to veteran or other organizations as opposed to direct grants to veterans. Veteran grants are usually scanned and stored in veteran's base files (RDA 4).

This series can include grant applications, application review process, approvals and denials, and grant distribution.

This RDA is in place of ADM00013 to extend retention to six years to ensure availability of all documents for our internal audits for Veterans Trust Fund Grants.

These records can be maintained digitally or in paper form.

Box 16 Confidential Content: The release of confidential information that may be included in veterans or other organization records are protected by Wis. Stat. § 19.36.

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

Dept #: /003/ Department Name: VETERANS BENEFITS - CEMETARIES AND MILITARY HONORS

RDA # RDA Title Retention Disposition PII

00014000. WISCONSIN VETERANS GRAVE REGISTRATION CR+4 TRANS OTHER Y

RDA # RDA Title Retention Disposition PII

This records series is a record of burial places located within the state for persons who served in the Armed Forces, and is written in accordance with Wis. Stat. § 45.62 and Wis. Stat. § 45.001.

The record series is created by WI County Veterans Service Officers and WI Veterans Cemetery personnel and entered into the web based Veterans Benefits Application Tracking System data base. The records may indicate the veterans name, date of birth and death, birth place, service in which engaged, designation of armed forces unit, service number and/or social security number, rank and period of service, name and location of cemetery or other place in which the body is interred, location of grave within the cemetery, and character of the headstone or other marker, if any, at the deceased veteran's grave, as well as name and address of next of kin and relationship to the deceased. The records have been created for veterans beginning with the Civil War, and are used by the Department and WI Veterans Museum in providing information to the public. These records will be kept for 4 years prior to transferring to the Wisconsin Veterans Museum.

RETENTION: EVENT (Creation) + 4 years and transfer to Wisconsin Veterans Museum

00118000. **MILITARY FUNERAL HONORS PROGRAM** **EVT+1** **DEST** **Y**

This record series is written in accordance with Wis. Stat. § 45.60 and VA17.01-17.06 which document the coordination of the provision of Military Funeral Honors for deceased veterans. Upon receipt of the Military Funeral Honors request form, submitted by the funeral home or the Veterans Service Office, eligibility of the deceased veteran is verified. Eligibility verification includes reviewing documents regarding separation documents, records sourced from the USDVA, vital records, information on monetary benefits including loans, and other records. Section 45.04 of the Wisconsin Statutes, VA 1.10(1) Wis. Admin. code, and 36 CFR 1228.168 provide restrictions for release of the documents contained in this record series.

* Note that as per 36 CFR 1228.168, military records, such as DD-214s, cannot be released until 62 years after the servicemember's separation from the military.

RETENTION: EVENT (Date of approval/denial) + 1 year and destroy confidential

00118B00. **MILITARY FUNERAL HONORS TRAINING AND CERTIFICATION** **FIS+5** **DEST** **N**

In accordance with Wis. Stat. § 45.60(1)(b), training and certification information is scanned and entered on a worksheet which is used to recognize a Veterans Service Organization and/or individuals who meet minimum required standards to be considered for reimbursement for the provision of military funeral honors. Veterans Service Organizations include groups such as the American Legion Posts, Veterans of Foreign Wars, Amvets, etc. A list of qualified individuals for each Veterans Service Organization is maintained with the worksheet.

RETENTION: EVENT (Fiscal) + 5 years and destroy

00119000. **INTERMENT RECORDS** **EVT+1** **DEST** **Y**

This record series contains documents regarding application and eligibility for burial under Wis. Stat. §§ 45.61(4). Wisconsin Stat. §§ 45.62(1) allows the department to compile records of veteran's burial places located within the state. Information can include decedent name and vital information, date of schedule service, name of cemetery, and location of veteran's grave in the cemetery, next of kin and contact information, Military Funeral Honors information and veteran's military and eligibility information, which may include a marriage certificate for spousal burial and birth certificate for dependent children.

Records may begin as paper documents but are scanned to digital format as soon as possible. Information is entered in the Interment Register and the federal Burial Operations Support System at the time of interment.

Box 16 Confidential Content: The release of confidential information may be included in eligibility documents are protected by Wis. Stat. 45.04.

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

00119A00. **INTERMENT REGISTER RECORDS** **P** **PERM** **Y**

This record series is for the interment register records of the Wisconsin Veterans Memorial Cemeteries. Wisconsin Department of Veterans Affairs may compile records of veteran's burial places located in Wisconsin per Wis. Stat. § 45.62(1). Eligibility information is specified in Wis. Stat. § 45.61(2). These records will be maintained permanently in a database by WDVA to be accessible online and via kiosks in the cemeteries and through the Wisconsin Veterans Museum (WVM). These records have been created for veterans beginning with the Civil War and are used by the Department and the WVM in providing information to the public.

Box 16 Confidential Content: The release of confidential information which may be included in the eligibility documents is protected by Wis. Stats. § 45.04. Confidential information is not available to the public either by request, via kiosks, or through the WVM.

RETENTION: Permanent

00119B00. **PRE-REGISTRATION FOR INTERMENT RECORDS** **EVT+1** **DEST** **Y**

This record series contains documents regarding application and eligibility for burial under Wis. Stat. §§ 45.61(2) and 45.61(4) for pre-registration to allow veterans to establish their eligibility for burial in advance. Information can include veteran's name and vital information, name of cemetery, next of kin and contact information and veteran's military and eligibility information. Marriage certificate for spousal burial and birth certificate for dependent children may be included. Pre-registration information will not include date of

Dept #: /003/ Department Name: VETERANS BENEFITS - CEMETARIES AND MILITARY HONORS

RDA # RDA Title Retention Disposition PII

interment or location of grave, as they are determined at time of interment.

These records are maintained as paper documents indefinitely until interment occurs. Once the veteran, or eligible family member, is interred records will be entered into the digital Interment Register (RDA 119A) and the federal Burial Operations Support System. The interment will also trigger the retention period. A new application is to be developed to hold documents/records digitally at some future time. These records are maintained separately from RDA 119 as pre-registrations may never be entered into the Interment Register (RDA 119A).

Box 16 Confidential Content: The release of confidential information which may be included in eligibility documents are protected by Wis. Stat. § 45.04.

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

Dept #: /004/ Department Name: FISCAL SERVICES - LOAN RECORDS

RDA # RDA Title Retention Disposition PII

00009000. PAID VETERANS LOANS EVT+7 DEST Y

This record series contains loans that originated from several veterans loan programs. Loans included may be:

- Consumer Loan Program (CLP).
- Economic Assistance Loan Program (EAL).
- Home Improvement Loan Program (HILP).
- Personal Loan Program (PLP).
- Second Mortgage Housing Loans (SMHL).

These loan files may consist of the loan application, disbursement authority, co-signer letters of intent, child support verification, credit report, loan commitment, employment and deposit verification, disclosure statements, photographs, appraisal, mortgage note or chattel security agreement, title insurance policy, truth-in-lending statements and tax statements.

Loan files are sent to the State Records Center when satisfied.

Box 16: Confidential Information is contained within these files and are to be destroyed confidentially per Wis. Stats. § 45.04.

RETENTION: EVENT (Loan satisfied) + 7 years and destroy confidential

00021000. PRIMARY MORTGAGE HOUSING LOANS EVT+7 DEST Y

Section 45.30 of the Wisconsin Statutes provides that the department may make primary mortgage housing loans to eligible veterans for the purchase of a mobile home, and existing home and eligible rehabilitation, construction of a new home and for the refinancing of existing mortgage indebtedness.

A file is established for correspondence and forms used in processing loan requests and loan payments such as the loan application, disbursement authority, credit report, mortgage loan commitment, employment and deposit verification, disclosure statement, photographs, sales memoranda, appraisal report, mortgage note or chattel security agreement, floor plans, title insurance policy, specifications, tax statements, check list and satisfaction of mortgage.

The file is forwarded to the State Records Center when the loan is satisfied. As of July 2000, any loan files previously sent to the State Records Center under RDA00021B title "Unsatisfactory Payment History Primary Mortgage Housing Loans" were included with records sent under the RDA00021. Wis. Stat. § 45.34(1).

Box 16 Citation: Wis. Stat. § 45.04.

RETENTION: EVENT (Closed/Loan paid off) + 7 years and destroy confidential

00021A00. UNCOLLECTIBLE PRIMARY MORTGAGE HOUSING LOANS EVT+20 DEST Y

Wis. Stats. §§ 45.30 - 45.37 governs the Veterans Housing Loan program (Primary Mortgage).

These loans are comparable to those described in schedule RDA 00021, but these loans have not been satisfied and the balance remaining was written-off as uncollectible. These files are retained for a longer period of time because of the outstanding balance on the loan.

These loan files may consist of the loan application, disbursement authority, co-signor letters of intent, child support verification, credit report, mortgage loan commitment, employment and deposit verification, disclosure statements, photographs, appraisal, mortgage note, title insurance policy, truth-in-lending statements and tax statements.

These records contain confidential information and are destroyed confidentially per Wis. Stats. § 45.04.

Dept #: /004/ Department Name: FISCAL SERVICES - LOAN RECORDS

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

RETENTION: EVENT (Later date of write-off or judgment) + 20 years and destroy confidential

<u>00147000.</u>	<u>UNCOLLECTIBLE VETERANS LOANS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
------------------	-------------------------------------	---------------	-------------	----------

The record series contains loans that have not been satisfied and were written off as uncollectible. The loans originated from several veterans loan programs and are being combined as they are all using the same or similar funding. RDA 0021A remains separate due to a different funding source:

- * Consumer Loan Program in accordance with 1995 Wis. Stats. § 45.356 and is comparable to the series described in RDA 00093
- * Economic Assistance Loan Program in accordance with Wis. Stats. § 45.351(2) and is comparable to the series described in RDA 00009
- * Home Improvement Loan Program in accordance with Wis. Stats. § 45.34(1)(c) and is comparable to the series described in RDA 00066
- * Personal Loan Program in accordance with Wis. Stats. § 45.42 and is comparable to the series described in RDA 00116
- * Second Mortgage Housing Loan in accordance with 1989 Wis. Stats. § and is comparable to the series described in RDA 00008.

These loan files may consist of the loan application, disbursement authority, co-signor letters of intent, child support verification, credit report, loan commitment, employment and deposit verification, disclosure statements, photographs, appraisal, mortgage note or chattel security agreement, title insurance policy, truth-in-lending statements and tax statements.

These loans files are maintained for a longer period of time because of the outstanding balance due. The twenty-year retention begins with the date the loans were written-off or the date of judgment whichever occurs last.

Box 16: Confidential Information is contained within these files and are to be destroyed confidentially per Wis. Stats. § 45.04.

RETENTION: EVENT (Last occurring write-off/Judgment due) + 20 years and destroy confidential

Dept #: /005/ Department Name: FISCAL SERVICES - FISCAL RECORDS

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

<u>00131000.</u>	<u>MAINTENANCE INVENTORY RECORD ISSUE</u>	<u>CR+0/1</u>	<u>DEST</u>	<u>N</u>
------------------	---	---------------	-------------	----------

Record of inventory parts checked out by maintenance staff.

RETENTION: EVENT (Creation) + 1 month and destroy

<u>00132000.</u>	<u>RETURN GOODS RECORDS</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
------------------	-----------------------------	-------------	-------------	----------

Record of returned goods to vendor.

RETENTION: EVENT (Creation) + 1 year and destroy

Dept #: /006/ Department Name: BUDGET AND FACILITIES - BUDGET

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

<u>00022000.</u>	<u>BUILDING PROJECT FILES STATE FUNDED</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
------------------	--	---------------	-------------	----------

Building project files have been established for construction projects undertaken at the Wisconsin Department of Veterans Affairs under the Agency Building Program. Projects are of two types: major projects with a cost of \$760,000 or more and minor projects with a cost of less than \$760,000. Major projects may have sub-files for different aspects or contractors for the project. Projects completed with state funds only need to be retained for 10 years after the project completion date. The date closed is 10 years after project completion.

RETENTION: EVENT (Project completion) + 10 years and destroy

<u>00032000.</u>	<u>BUILDING PROJECT FILES JOINT STATE AND FEDERAL FUNDED</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
------------------	--	---------------	-------------	----------

Building project files have been established for construction projects undertaken at the Wisconsin Department of Veterans Affairs under the Agency Building Program. Projects are of two types: major projects with a cost of \$760,000 or more and minor projects with a cost of less than \$760,000. Major projects may have sub-files for different aspects or contractors for the project.

Dept #: /006/ Department Name: BUDGET AND FACILITIES - BUDGET

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
--------------	------------------	------------------	--------------------	------------

Projects that have received federal grant assistance need to be retained for 20 years after the project completion date, which is the date agreed upon by the agency and federal authority. The date closed is 20 years after project completion.

RETENTION: EVENT (Project completion) + 20 years and destroy

Dept #: /007/ Department Name: OFFICE OF LEGAL COUNSEL

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
--------------	------------------	------------------	--------------------	------------

<u>00142000.</u>	<u>LEGAL CASE FILES, EMPLOYMENT</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
------------------	-------------------------------------	---------------	-------------	----------

Legal case files on any employment action in state or federal court or any administrative agency. These files must be treated as limited access, confidential, and containing personally identifiable information because they could contain any or all essential elements detailed below.

- * Personally identifying information 19.80(3)(a) Wis. Stats., VA 1.10(16), Wis. Admin. Code
- * Medical information Pub. L. No. 104-191, 110 Stat. 1936 (1996), VA 1.10(6), Wis. Admin. Code
- * Investigation reports 45.04(4) Wis. Stats.
- * Service and separation records and/or those provided by the US Department of Veterans Affairs 45.04(2) Wis. Stats. VA 1.10(1), Wis. Admin. Code
- * Personnel records VA 1.10 (2), Wis. Admin Code
- * Information on applications for benefits pending or adjudicated VA 1.10(3), Wis. Admin. Code
- * Federal military records, such as DD-214s, cannot be released until 62 years after the servicemember's separation from the military 36 CFR 1228.168. However, as long as the records in this series are destroyed confidentially, and not related to the Historical Society or anyone else, this does not affect the necessary retention period.

RETENTION: EVENT (Case closing) + 12 years and destroy confidential

<u>00143000.</u>	<u>LEGAL CASE FILES, VETERANS BENEFIT APPEALS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
------------------	---	--------------	-------------	----------

Legal case files on any veterans appeals to include appeals hearings, decisions and denials for benefits. Due to essential elements detailed below, these files must be treated as limited access, confidential, and containing personally identifiable information.

- * Personally identifying information Wis. Stats. § 19.80(3)(a), Wis. Admin. Code VA 1.10(16).
- * Medical information Pub. L. No. 104.191, 110 stat. 1936 (1996), Wis. Admin. Code VA 1.10(6).
- * Monetary details of benefits Wis. Stat. § 45.04(6).
- * loan information Wis. Stat. § 45.04(7), Wis. Admin. Code VA 1.10(7).
- * Service and separation documents and/or those provided by the US Department of Veterans Affairs records under Wis. Stats § 45.04(2), Wis. Admin. Code VA 1.10(1).
- * Information on applications for benefits pending or adjudicated Wis. Admin. Code VA 1.10(3).
- * Federal military records, such as DD-214s, cannot be released until 62 years after the servicemember's separation from the military 36 CFR § 1228.168. However, as long as the records in this series are destroyed confidentially, and not released to the Historical Society or anyone else, this does not affect the necessary retention period.

RETENTION: EVENT (Case closing) + 2 years and destroy confidential

<u>00144000.</u>	<u>LEGAL CASE FILES, COLLECTIONS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
------------------	--------------------------------------	---------------	-------------	----------

Legal case files on any loan or other collection action in state or federal court. These are the files created by the Office of Legal Counsel containing only necessary documents from initiation to conclusion of the legal collection action. These files must be treated as limited access, confidential, and containing personally identifiable information because they may contain any or all essential elements detailed below.

- * Personally identifying information Wis. Stats. § 19.80(3)(a), Wis. Admin. Code VA 1.10(16).
- * Monetary details of benefits Wis. Stat. § 45.04(6).
- * Loan information Wis. Stat. § 45.04(7), Wis. Admin. Code VA 1.10(7).
- * Information on applications for benefits pending or adjudicated Wis. Admin. Code VA 1.10(3).

RETENTION: EVENT (Case closed) + 25 years and destroy confidential

Dept #: /015/ Department Name: VETERANS HOMES - KING MEDICAL RECORDS

RDA # RDA Title Retention Disposition PII

00088000. PUBLISHED RESEARCH PROJECTS P PERM Y

These records are maintained by the medical director according to DHS 132.45(6)(e)(3) and HIPAA 45 CFR 164.53(j)(2) to provide a history of medical research conducted at the Home.

This record series contains the master copy of all published medical research completed by the Home involving the medical care of the elderly.

The original record is considered a permanent record. Copies may be destroyed at the discretion of the holder.

RETENTION: Permanent

00104000. MAINTENANCE AND SERVICE RECORDS FOR LAB CR+2 DEST N

This record series is maintained in accordance with 42 CFR 493.1105(a)(3) to provide a written record of routine and preventative maintenance performed on laboratory equipment. Records are maintained for 2 years.

RETENTION: EVENT (Creation) + 2 years and destroy

00105000. WORKLOAD RECORDING FOR LAB CR+2 DEST N

This record series is maintained in accordance with 42 CFR 493.1105(a)(3)(i) to furnish statistical data for the annual report on the Wisconsin Veterans Home. These records contain the statistics collected on the types of tests performed by the lab in a chronological order and are maintained for 2 years.

RETENTION: EVENT (Creation) + 2 years and destroy

00106000. LABORATORY PROFICIENCY TESTING CR+2 DEST N

This record series is maintained in accordance with 42 CFR 493.1105(a)(4) and is the results of the State Lab Hygiene Proficiency Testing program which is used to maintain federal certification for the lab at the Home. These records are maintained for 2 years.

RETENTION: EVENT (Creation) + 2 years and destroy

00108000. TEST RECORDS (DAILY TEST LOGS) CR+2 DEST Y

These records are maintained in accordance with 42 CFR 493.1105(a)(2) and 45 CFR 164.53(j)(2) to ensure reliability in the identification of member specimens as they are processed and tested to assure that accurate test results are reported. Records are maintained for 2 years.

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

00109000. LABORATORY TEST REPORTS CR+2 DEST Y

These records are maintained in accordance with 42 CFR 493.1105(a)(6) and HIPAA 45 CFR 164.53(j)(2) and provide results from each lab request type: chemistry, hematology, coagulation, urinalysis, microbiology and miscellaneous.

The original records are held in the member chart (RDA 45 and 45A) and a copy is maintained by the laboratory for reference and research purposes for 2 years.

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

00110000. QUALITY CONTROL OF LABORATORY CR+2 DEST N

These records are maintained in accordance with 42 CFR 493.1105(a)(5) and provides a daily record of quality control activities for all test methods which are performed by lab personnel. These tests help to ensure acceptable instrument performance, integrity of reagents and proper procedural techniques when analyzing laboratory specimens. Original records are maintained for 2 years.

RETENTION: EVENT (Creation) + 2 years and destroy

Dept #: /023/ Department Name: PROGRAMS AND SERVICES - VETERANS PROGRAMS

RDA # RDA Title Retention Disposition PII

00089000. DISCHARGE REVIEW/PRISON CLIENT RECORDS EVT+5 DEST Y

This record series was created in accordance with Wis. Stat. Ch. 45. These records contain documentation of assistance to

Dept #: /023/ Department Name: PROGRAMS AND SERVICES - VETERANS PROGRAMS

RDA # RDA Title Retention Disposition PII

incarcerated veterans. They may contain documents for discharge reviews, service-connected disabilities, other Federal or State benefits, or other assistance based on veteran status or personal situations.

Per BOX 16, Wis. Stat. §§ 51.30(4) and 146.83 relate to access to patient health information and records (Health information may be included for application of some veterans benefits). Wis. Admin. Code Ch. DHS 92.04 specifies when disclosure without consent is allowed. Wis. Stat. § 19.62(5) defines Personally Identifiable Information. Wis. Stat. § 45.04 provides release of information and records information. Wis. Stat. § 134.97 addresses disposal of records that contain personal information.

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

Dept #: /024/ Department Name: PROGRAMS AND SERVICES - STATE APPROVING AGENCY

RDA # RDA Title Retention Disposition PII

00148000. FACILITY APPROVAL RECORDS EVT+3 DEST N

The State Approving Agency has since 1944 approved and inspected schools, courses of instruction, and training facilities for veterans and eligible persons. This RDA combines Educational Approval Authority (EAB) expired RDAs 00017, 00028, and 00032 recently transferred to Veterans Affairs from the EAB.

This record series includes documentation related to the approval and re-approval process. Documentation can include school applications, catalogs, handbooks, reports, contracts and correspondence. Approval granted is for training of veterans under 38 C.F.R. pt. 3 and Wis. Stat. § 45.03(11). Federal guidelines for retention of materials is referenced in Federal Department of Veterans Affairs, Records Control Schedule VB-1, Part I, Field manual.

Event= date an approval is superseded or withdrawn. Destroy when an approval is superseded or withdrawn after three (3) years provided there is no litigation or investigation pending.

RETENTION: EVENT (Superseded or approval withdrawn) + 3 years and destroy

00149000. FACILITY CERTIFICATE OF DISAPPROVAL EVT+10 DEST N

The State Approving Agency has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons.

These certificates reflect a negative response to a request for approval of a facility. The certificates provide a summary and final disposition of the application. They are maintained for a longer period of time than the supporting documents in 149A for reference in the event of future applications or inquiries.

Facility Certificates of Disapproval relate to training for veterans under 38 C.F.R., pt. 3 and Wis. Stats. § 45.03(11). Federal guidelines for retention of materials is referenced in the Federal Department of Veterans Affairs, Record Control Schedule VB-I, Part I, Field.

Event= disapproval date. Destroy after ten (10) years provided there is no litigation or investigation pending.

RETENTION: EVENT (Creation) + 10 years and destroy

00149A00. FACILITY DISAPPROVAL RECORDS EVT+1 DEST N

The State Approving Agency has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons.

These records contain supporting documentation for the certificates reflecting disapprovals in RDA 149. The retention period is shorter for the supporting documentation as the certificates' summaries provides the necessary information in the event of a future application. Records can include school applications, catalogs, handbooks, contracts and correspondence.

Disapproval supporting documents relate to training for veterans under 38 C.F.R., pt. 3 and Wis. Stats. § 45.03(11). Federal guidelines for retention of materials is referenced in the Federal Department of Veterans Affairs, Record Control Schedule VB-I, Part I, Field.

Event = disapproval date. Destroy after one (1) year provided there is no litigation or investigation pending.

RETENTION: EVENT (Creation) + 1 year and destroy

00150000. INSPECTION AND INVESTIGATION RECORDS AND REPORTS - APPROVED S EVT+7 DEST Y

This record series includes documentation related to audits, compliance surveys, inspection or supervisory visits or investigations for approved schools. Content includes reason for action and all documents for determination or completion of action. These records and reports are part of maintaining approval for training of veterans under 38 C.F.R. pt. 3 and Wis. Stat. § 45.03(11). The data from these records are used for preparation of monthly and quarterly reports to the Federal Department of Veterans Affairs.

Dept #: /024/ Department Name: PROGRAMS AND SERVICES - STATE APPROVING AGENCY

RDA # RDA Title Retention Disposition PII

Retention is set by the Federal Government in the Federal Department of Veterans Affairs Record Control Schedule VB-1, Part I Field Manual. When a school is no longer approved refer to RDA 150A.

EVENT = Date of survey inspection or investigation completed or date irregularities or discrepancies settled, if any.

Records may contain Personally Identifiable Information that is protected under Wis. Stats. § 45.04 requiring confidential destruction

RETENTION: EVENT (See EVENT in Box 12 Description) + 7 years and destroy confidential

00150A00. INSPECTION AND INVESTIGATION RECORDS AND REPORTS - NON-APPROV EVT+3 DEST Y

This record series includes documentation related to audits, compliance surveys, inspection or supervisory visits or investigations of schools that lost their approval. Content includes reason for action and all documents for determination or completion of action. These records and reports are part of maintaining approval for training of veterans under 38 C.F.R. pt. 3 and Wis. Stat. § 45.03(11). The data from these records are used for preparation of monthly and quarterly reports to the Federal Department of Veterans Affairs.

Retention is set by the Federal Government in the Federal Department of Veterans Affairs Record Control Schedule VB-1, Part I Field Manual. Approved schools use RDA 150.

EVENT = Date school lost their approval or date irregularities or discrepancies settled, if any.

Records may contain Personally Identifiable Information that is protected under Wis. Stats. § 45.04 requiring confidential destruction.

RETENTION: EVENT (See EVENT in box 12 Description) + 3 years and destroy confidential

00151000. CONTRACTS, BUSINESS PLANS, AND REPORTS CR+7 DEST N

The State Approving Authority has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons. This RDA was recently transferred to Veterans Affairs for the Educational Approval Board (EAB) as expired EAB RDA number 00027 VA Contract Files.

This record series includes documentation between the Federal Department of Veterans Affairs and the Wisconsin Department of Veterans Affairs. These records can contain contracts, progress reports, reimbursement vouchers, and other documentation and correspondence relating to the operation and compliance of the State Approving Agency with the Federal Department of Veterans Affairs.

These records are part of maintaining approval for training of veterans under 38 C.F.R. pt. 3 and Wis. Stat. § 45.03(11). Federal guidelines for retention of materials is referenced in Federal Department of Veterans Affairs, Records Control Schedule VB-1, Part I, Field manual.

Event= Creation. Destroy after seven (7) years provided there is no pending litigation or investigation.

RETENTION: EVENT (Creation) + 7 years and destroy

00152000. LISTS OF INSTITUTIONS AND VETERANS EVT+3 DEST Y

The State Approving Authority (SAA) has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons. This RDA combines two RDAs recently transferred to Veterans Affairs for the Educational Approval Board (EAB) as expired EAB RDA numbers 00023 List of Institutions Currently Training Veterans Under Chapter 34 and/or 35, Title 38 U.S. Code and 00023A Lists of Institutions Currently Training Veterans under Chapter 34 and/or 35, Title 38 U.S. Code.

The Federal VA has a current list of institutions and veterans available online. It also issues annual lists of institutions and veterans covering all programs under 38 C.F.R. pt. 3. Federal guidelines for retention of materials is referenced in Federal Department of Veterans Affairs, Records Control Schedule VB-1, Part I, Field manual. The last three (3) years of these lists are used by SAA staff in performing compliance and investigative visits.

Box 16: Confidential Information is contained within these files and are to be destroyed confidentially per Wis. Stats. § 45.04.

Event= New annual list received. Destroy confidentially after three (3) years when new annual list is received, provided there is no pending litigation or investigation.

RETENTION: EVENT (New annual list received) + 3 years and destroy confidential

Dept #: /025/ Department Name: BUREAU OF CLAIMS

RDA # RDA Title Retention Disposition PII

Dept #: /025/ Department Name: BUREAU OF CLAIMS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
--------------	------------------	------------------	--------------------	------------

<u>00020000.</u>	<u>ADMINISTRATIVE FILES</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
------------------	-----------------------------	-------------	-------------	----------

Office is established in accordance with Chapter 45 Wisconsin Statutes.

Record series is established as executive administrative files in alphabetical order. These files contain correspondence within the agency, request for information from the Claims Office, and interim changes to department policy and procedures.

Records are retained for two years and destroyed locally.

No similar records are kept.

RETENTION: EVENT (Creation) + 2 years and destroy

Dept #: /026/ Department Name: VETERANS MUSEUM

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
--------------	------------------	------------------	--------------------	------------

<u>00126000.</u>	<u>GUEST REGISTER</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
------------------	-----------------------	--------------	-------------	----------

Guest Register books are maintained for Museum visitors to voluntarily record their name, address and comments.

RETENTION: EVENT (Date of last visit in register) + 4 years and destroy confidential