485-VETERANS AFFAIRS

Dept # *Department Name*

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*
00045000.	**MEMBER MEDICAL RECORDS**	**EVT+7**	**DEST**	**Y**

Retention and requirements for this records series are covered by 42 C.F.R. § 424.516(f) and Wis. Admin. Code OHS§ 132.45. The Centers for Medicare and Medicaid Services (CMS) requires that we maintain medical records for 7 years from the Date of Service (DOS).

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).

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.

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. pis 160 and 164.

RETENTION: EVENT (Date of death or discharge) +7 years and destroy confidential

00068000.	**DENTAL SERVICES RECORDS**	**EVT+5**	**DEST**	**Y**

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.

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) + 5 years and destroy confidential

00069000.	**COMMANDANT ADMINISTRATIVE RECORDS**	**CR+6**	**SHSW**	**Y**

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.

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 transfer to State Archives (WHS)

00070000.	**VETERANS HOMES - SPECIAL FUNCTIONS**	**CR+2**	**DEST**	**N**

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.

Medium for records storage may vary at different Veterans Homes. Retention is set by Wis. Admin. Code DHS 132.45(4)(f)l.

RETENTION: EVENT (Creation) + 2 years and destroy

00071000.	**DIETARY WORK PRODUCTION**	**CR+2**	**DEST**	**N**

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.

Medium for records storage may vary at different Veterans Homes.

RETENTION: EVENT (Creation) + 2 years and destroy

00073000. MENUS AND THERAPEUTIC DIETS CR+2 DEST Y

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.

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

00077000. MEMBER PHARMACY RECORD EVT+6 DEST Y

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:
- 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

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

00078000. PHARMACY PHYSICAL INVENTORY CR+5 DEST N

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.

Medium for records storage may vary at different Veterans Homes.

RETENTION: EVENT (Creation) + 5 years and destroy

00080000. CONTINGENCY KITS (NON-CONTROLLED DRUGS) CR+5 DEST Y

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.

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) + 5 years and destroy confidential

00081000. PROOF OF USE FOR CONTROLLED SUBSTANCES CR+6 DEST Y

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

00082000. PRESCRIPTION RECORDS EVT+5 DEST Y

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

00083000. NURSING STATION REVIEWS CR+2 DEST Y

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

00099000. QUALITY ASSURANCE SERIES EVT+2 DEST N

Under Wis. Admin. Code § DHS 132.45, Wis. Admin. Code § DHS 132.46 and 42 C.F.R. pt. 483, these records contain information relating to the facility Quality Assurance Program.

Records series includes, but is not limited to, Quality Assurance meeting minutes, infectious disease data, infection control program documentation, infection control preventionist documentation, facility audit results, quality of patient care and ancillary services documentation, and performance improvement program documentation. This records series also includes documentation of monitoring and evaluation of patient care and use of health facilities and services.

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

RETENTION: EVENT (end of calendar year) + 2 years and destroy

00102000. MEMBER INCIDENT REPORTS EVT+7 DEST Y

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, 551.30(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

00103000. NURSING ASSIGNMENT WORKLOADS CR+6 DEST Y

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

00107000. REFERENCE LABORATORY SEND OUT LOG CR+2 DEST Y

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.

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

00112000. OCCUPATIONAL AND PHYSICAL THERAPY REPORTS CR+2 DEST Y

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.

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

00117000. INCIDENT REPORTS EVT+6 DEST Y

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.

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.

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 discharge or demise) + 6 years and destroy confidential

00130000. NURSING DAILY RECORD CR+2 DEST N

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.

Medium for records storage may vary at different Veterans Homes.

RETENTION: EVENT (Creation) + 2 years and destroy

00133000. ADMISSION AND DISCHARGE RECORDS FOR DECEASED AND DISCHARGEI EVT+6 SHSW Y

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.

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 Transfer - State Archives (WHS)

00134000. **KEY ISSUANCE AGREEMENT RECORDS** **EVT+2** **DEST** **N**

This record series contains agreements with staff, contractors and volunteers regarding issuance of keys at the Veterans Homes.

Medium for records storage may vary at different Veterans Homes.

RETENTION: EVENT (Separation/involvement with Homes end) + 2 years and destroy

00141000. **TEMPERATURE AND SANITATION RECORDS** **CR+2** **DEST** **N**

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. **PHARMACY RECORDS MEDICARE PART D** **CR+10** **DEST** **Y**

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 Regiment 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. **VETERANS BASE FILES** **P** **PERM** **Y**

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. **DEPARTMENT OF DEFENSE RECORD OF DISCHARGE** **P** **PERM** **Y**

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 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 .I 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. pts160 and 164.

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

00146000. VETERANS BENEFIT RESOURCE CENTER RECORDINGS EVT+0/2 DEST Y

The Veterans Benefits Resource Center (VBRC) records telephone calls and online chats on the agency website between the customers and VBRC staff for quality control and training purposes. The VBRC has the main contact number for the agency. Calls can pe1tain to any Wisconsin Department of Veterans Affairs (WDVA) business but primarily calls and chats are related to Veterans Benefits. Retention will be set for 45 days to allow time for recordings to be reviewed by supervisory staff.

Some recordings may be downloaded by Supervisors or Managers and retained in a separate file on a WOY A server for training purposes or personnel documentation. Training recordings would be retained until superseded per ADM00012 Training/Course Materials. Recordings for personnel issue documentation, if encountered, would be retained under either HROOOl 12 Employee Discipline Related Records or HR000190 Official Personnel File as appropriate.

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 (HIP AA), also protects patient health care records. See 42 U.S.C. § 1320d-2, 45 C.F.R. ptsl60 and 164.

RETENTION: EVENT (Date of Recording or Chat) + 45 DAYS 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.

Dept #	/002/	Department Name	VETERANS BENEFITS - GRANTS

RDA #	RDA Title	Retention	Disposition	PII

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
00118000.	MILITARY FUNERAL HONORS PROGRAM	EVT+1	DEST	Y

This record series is written in accordance with Wis. Stat. § 45.60 and Wis. Admin. Code §§ VA 17.01-17.06 which documents the coordination of the provision of Military Funeral Honors for deceased veterans. Upon receipt of the Military Funeral Honors request form, eligibility of the deceased veteran is verified. Eligibility verification includes reviewing documents regarding separation from the United States Department of Veterans Affairs (USDVA), vital records, information on monetary benefits including loans, and other records.

Confidential: 36 C.F.R. § 1228.168, Wis. Stat. § 45.04, and Wis. Admin. Code ch. VA 1.10(1)

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

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

RDA #	RDA Title	Retention	Disposition	PII
00118B00.	MILITARY FUNERAL HONORS TRAINING AND CERTIFICATION	FIS+5	DEST	N

Records are for qualified 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. Records include, but are not limited to date of class, roster, and date of certifications issued.

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 training and certification information received by paper will be imaged and subject to review, to ensure the images of these applications are electronically stored and the quality of these images are acceptable. Upon verification of the quality, the paper record will be destroyed.

RETENTION: EVENT (Fiscal) + 5 years and destroy

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).

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

RDA #	RDA Title	Retention	Disposition	PII

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**

Primary mortgage housing loans for eligible veterans for the purchase of a mobile home, existing home and other eligible habitation, construction of a new home or for the refinancing of an 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 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. While the Department is no longer issuing new loans, we are still receiving payments, corresponding with loan holders and processing satisfactions of mortgage.

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

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

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

RDA #	RDA Title	Retention	Disposition	PII

00131000. **MAINTENANCE INVENTORY ISSUE RECORD** **CR+0/1** **DEST** **N**

Record of inventory parts checked out by maintenance staff for use. Record includes part/item name and inventory number, staff checked out by, and building name where item is to be used. The record is used if any questions are raised.

RETENTION: EVENT (Creation) + 1 month and destroy

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

RDA #	RDA Title	Retention	Disposition	PII

00032000. **BUILDING PROJECT FILES JOINT STATE AND FEDERAL FUNDED** **EVT+20** **DEST** **Y**

Records include building project files jointly funded by state and federal funds. Project records are of two types: major projects with a cost of $760,000 or more and minor project records with a cost of less than $760,000. Major projects may have sub-files for different aspects
or contractors for the project.

Retention is in accordance with 38 C.F.R. § 59.110, which allows the federal Department of Veterans Affairs to recover grant funding for 20 years after construction, expansion, remodeling, or alteration completion. Therefore, RDA 00032000 cannot be superseded by FAC00011.

EVENT = Building no longer exists or termination of state ownership.

This RDA does not include historically significant files, which are maintained under RDA 32A.

Records may be confidential per Wis. Stat. § 19.36(9) and Wis. Stat. § 19.35(1)(a).

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

images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT + 20 years and destroy

00032A00. HISTORICALLY SIGNIFICANT BUILDING PROJECT FILES JOINT STATE AND F EVT+20 SHSW Y

Records include building project files jointly funded by state and federal funds. Project records are of two types: major projects with a cost of $760,000 or more and minor project records with a cost of less than $760,000. Major projects may have sub-files for different aspects
or contractors for the project.

Retention is in accordance with 38 C.F.R. § 59.110, which allows the federal Department of Veterans Affairs to recover grant funding for 20 years after construction, expansion, remodeling, or alteration completion. Therefore, RDA 00032A00 cannot be superseded by FAC00012. The reason for creation is an RDA with a 20-year retention and transfer disposition was needed for historically significant building project records.

EVENT = Building no longer exists or termination of state ownership.

These projects are typically large-scale and may include new construction of a state facility or institution as well as projects involving facilities significant to the State of Wisconsin or United States History; buildings on the State or National Register of Historic Places.

Records may be confidential per Wis. Stat. § 19.36(9) and Wis. Stat. § 19.35(1)(a).

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

RETENTION: EVENT + 20 YEARS AND TRANSFER TO WHS

00142000. LEGAL CASE FILES, EMPLOYMENT EVT+12 DEST Y

Legal case files on any employment action in state or federal court or any administrative agency. Records include, but are not limited to, pleadings, discovery, and other documentation concerning employment action, to include litigated or
investigative matters.

* Federal military records, such as DD-214s, cannot be released until 62 years after the servicemember's separation from the military pursuant to schedules established under 36 CFR § 1228, et. al., 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.

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.

Confidential Content: Wis. Stat. §§ 45.04 (2, 6-7), 19.80(3)(a), and Wis. Admin Code ch. VA 1.10(1, 3, 6, 7, and 16).

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

00143000. LEGAL CASE FILES, VETERANS BENEFIT APPEALS EVT+2 DEST Y

Legal case files on any veterans appeals to include appeals hearings, decisions, and denials for benefits. Records include, but are not limited to, pleadings, discovery, and other documentation concerning agency action, to include denials, appeals, and litigated matters.

* Federal military records, such as DD-214s, cannot be released until 62 years after the servicemember's separation from the military pursuant to schedules established under 36 CFR § 1228, et. al., 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.

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.

Confidential Content: Wis. Stat. §§ 45.04 (2, 6-7), 19.80(3)(a), and Wis. Admin. Code ch. VA 1.10(1, 3, 6, 7, 16).

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

00144000. LEGAL CASE FILES, COLLECTIONS EVT+25 DEST Y

Legal case files on any loan or other collection action in state or federal court. These files contain necessary documents from initiation to conclusion of the legal collection action. Records include, but are not limited to, pleadings, discovery, and other documentation concerning collections action, to include litigated matters, matters in bankruptcy, or satisfaction of judgment documents.

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.

Confidential Content: Wis. Stat. §§ 45.04 (6-7), 19.80(3)(a), and Wis. Admin. Code ch. VA 1.10(3, 7, 16).

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

00153000. PARTICIPANT PROGRAM FILES EVT+3 DEST Y

This record series applies to the creation of program files which occurs upon receipt of a request for eligibility or benefits from the Department under Wis. Stat. § 45.03(1), Wis. Admin Code chs. VA 11 and 13. Program files include documentation pertinent to the Veteran necessary to approve or deny eligibility. If a Veteran enters the Veterans Housing and Recovery Program and/or the Veterans Outreach and Recovery Program, their file will include case management documentation and treatment information.

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

Box 16 Confidential Content: The release of confidential information which may be included in veterans' records are protected by Wis. Stats. §§ 45.04 (2) and 45.04(3). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protects patient health care records. See 42 U.S.C. § 290dd-2.

Event = discharge date

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 (I) 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.

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.

RDA #	RDA Title	Retention	Disposition	PII

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-I, 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

RDA #	RDA Title	Retention	Disposition	PII
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

RDA #	RDA Title	Retention	Disposition	PII
00126000.	GUEST REGISTER	EVT+4	DEST	Y

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