505-ADMINISTRATION

Dept # *Department Name*

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

00947000. **CORONAVIRUS RELIEF AND RECOVERY PROGRAM DEVELOPMENT, ADMINI** **EVT+5** **SHSW** **Y**

Records related to the development, administration, and announcement of programs created to respond to COVID-19, under the Coronavirus Aid, Relief, and Economic Security (CARES) Act, Pub. L. No. 116-136 (2020); the American Rescue Plan Act (ARPA), 42 U.S.C. § 802-803 (2021); the Consolidated Appropriations Act of 2021, Pub. L. No. 116-260 (2021); 31 C.F.R. pt. 35; or related funding.

Retention Time Period is in correspondence with U.S. Treasury guidance requiring retention of financial records and supporting documents. See “Memorandum for Coronavirus Relief Fund Recipients” dated July 2, 2020, page 4 and the State and Local Fiscal Recovery Fund “SLFRF Self-Service Resources”, section 9.1.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552(a); 8 U.S.C. § 1324a(b); Wis. Stat. § 19.35(1)(a); Wis. Stat. §§ 19.36(5), (10)(a), and (13); Wis. Stat. § 49.81; Wis. Stat. §§ 71.78(1), (5), and (6); and Wis. Stat. §§ 134.90(1)(c).

Event is “Date all funds returned to U.S. Treasury or final payment is made, whichever is later.”

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

RETENTION: EVENT + 5 years and transfer to WHS

00948000. **CORONAVIRUS RELIEF AND RECOVERY PROGRAM APPLICATIONS, AGREE** **EVT+5** **DEST** **Y**

Applications, agreements, and contracts of programs, under the Coronavirus Aid, Relief, and Economic Security (CARES) Act, Pub. L. No. 116-136 (2020); the American Rescue Plan Act (ARPA), 42 U.S.C. § 802-803 (2021); the Consolidated Appropriations Act of 2021, Pub. L. No. 116-260 (2021); 31 C.F.R. pt. 35; or related funding.

Retention Time Period is in correspondence with U.S. Treasury guidance requiring retention of financial records and supporting documents. See “Memorandum for Coronavirus Relief Fund Recipients” dated July 2, 2020, page 4 and the State and Local Fiscal Recovery Fund “SLFRF Self-Service Resources”, section 9.1.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552(a); 8 U.S.C. § 1324a(b); Wis. Stat. § 19.35(1)(a); Wis. Stat. §§ 19.36(5), (10)(a), and (13); Wis. Stat. § 49.81; Wis. Stat. §§ 71.78(1), (5), and (6); and Wis. Stat. §§ 134.90(1)(c).

Event is “Date all funds returned to U.S. Treasury or final payment is made, whichever is later.”

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

RETENTION: EVENT + 5 years and destroy confidential

Dept # ***/115/*** *Department Name* **LEGAL SERVICES**

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

00005A00. **OFFICE OF LEGAL COUNSEL OPINION FILES** **CR+50** **SHSW** **N**

Files consist of formal legal advice from DOA Legal Counsel regarding subjects within the scope of responsibility of DOA or its attached boards or councils. Files contain only formal opinion and attachments, if any - related records are contained in Office Management Files. Topics include, but are not limited to: interpretations of statutes, rules, case law, policies, and contracts; pending litigation, regulatory actions, or complaints; personnel matters; political activity; financial disclosure; draft legislation.

50 year record retention is required to maintain background of legal considerations in long-range departmental decisions and to maintain continuity within the Office of the Secretary.

Records in this series contain attorney-client privileged information or attorney work product. Wis. Stat. § 905.03 & 804.01(2)(c)1.

RETENTION: EVENT (Creation) + 50 years and transfer to State Archives (WHS)

00234000. CASE FILES EVT+3 DEST Y

This series includes, but is not limited to, cases referred to DOA that may lead to litigation that do not involve personnel or procurement matters; cases referred to the Department of Justice; and court actions, decisions and appeals affecting DOA programs. Records include, but are not limited to, complaints, legal filings, notices, correspondence or any other type of document related to the case.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(2) (certain law enforcement records); 19.36(4) (computer programs); 19.36(5) (trade secrets), 19.36(8) (law enforcement informants); 19.36(10) (certain Personally Identifiable Information of employees); 19.36(13) (financial identifying data); 48.396 and 48.78 (Children's Code), 51.30 (mental health treatment records, also HIPAA); 118.125 (pupil records, also FERPA); 146.82 (patient health care records, also HIPAA); 804.01(2)(c) and 905.03 (attorney work product and attorney-client privileged information); 938.396 and 938.78 (Juvenile Justice Code); 950.04 (crime victim/witness rights); Wisconsin Const. Art. I, § 9m (Marsy's Law crime victims' constitutional rights); 968.26 (John Doe); 968.40 (grand jury); and 28 C.F.R. pt. 20, subpart C (federally-protected criminal justice information (CJI)). Records may also contain information
exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, personally identifiable information of victims, witnesses, or collaterally mentioned individuals; law enforcement sensitive information; or other
information that would create security or safety risks if disclosed.

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 (Final appeal period ends) + 3 years and destroy confidential

00360000. OFFICE OF LEGAL COUNSEL-REAL ESTATE FILES EVT+5 DEST N

Files consist of documents relating to real estate transactions and state building projects in which DOA Legal Counsel participated on behalf of the State, including record of negotiations and requests for statutorily required approvals (by Joint Finance and/or State Building Commission) for purchase, sale, and building transactions . Project files typically include building construction contracts, leases, sale or purchase agreements and amendments, purchase options, deeds, real estate transfer return forms, affidavits, property closing statements and property title policies.

Records in this series contain attorney-client privileged information or attorney work product. Wis. Stat. § 905.03 & 804.01(2)(c)1.

RETENTION: EVENT (End of structure lifespan) + 5 years and destroy confidential

00403000. RELOCATION CASE FILES EVT+5 DEST Y

Relocation file. An agency shall maintain a current individual property acquisition and individual relocation case file, Wis. Admin . Code 92.20. An agency review identified the need for this RDA.

An agency undertaking a public project that displaces a person from a residence, business, or farm is required to submit a relocation plan to DOA for approval. Information in a relocation cases files includes, but is not limited to, the value of property being acquired, information about comparable property needed, income, and estimated relocation payments. After review of a relocation plan, DOA issues a written approval letter. This typically occurs within one week. Once the displacing agency completes its project and relocation payments have been made, the agency is required to submit a case report to DOA. A case report is often not received until several months after a plan is approved. A case report will close this file.

If an individual is not satisfied with a relocation-related decision made by a displacing agency, the individual may file a relocation appeal with DOA. DOA reviews and considers all appeals received and issues a written determination if/when appropriate. DOA's written determination will close this file.

RETENTION: EVENT (File closed) + 5 years and destroy

00946000. ALTERNATIVE CARE FACILITY PATIENT AND OPERATIONAL RECORDS EVT+10 DEST Y

This records series consists of patient medical records for state-run Alternate Care Facilities (ACF). An ACF is a temporary medical facility where patients are transferred for monitoring and treatment. Patient records may be stored in either paper files or electronic form, including Electronic Health Records.This record series also includes miscellaneous ACF operational records and confidential documents as well as correspondence that are retained along with the patient medical records.

During the COVID-19 pandemic, an ACF was commissioned under the authority of the Wisconsin Department of Health Services. The ACF was located at the Wisconsin State Fair Park and was staffed and administered by the Wisconsin Department of Administration. The ACF policy manual specifies a 10-
year retention period for medical records.

Wis. Stat. § 146.82 states that all patient health care records shall remain confidential. Additionally, some of the records contain other personally identifiable information (PII) which may be confidential.

This records series may be utilized for any temporary ACF facilities that may be commissioned and similarly operated by the Department of Administration.

RETENTION: EVENT (Facility decommissioning) + 10 years and destroy confidential

00289000. **AUTHORIZED POSITION REPORTS** **FIS+6** **SHSW** **Y**

Records include position reports submitted to the Joint Committee on Finance and the Governor, in accordance with Wis. Stat. §§ 16.42, 16.50(3)(d), and 16.54(8). Reports include, but are not limited to, the number of employees by type (i.e., unclassified, classified, limited-term, project), full-time equivalent positions by source, all state employees by types, hours paid, and total payroll. Reports also include, but are not limited to, information about individual
employees and positions, such as first name, last name, wages, plan, grade, funding codes, office location, position number, position titles, position type, employee identification number, and seniority date.

Names of certain employees whose identities require protection to ensure the effective conduct of law enforcement investigations, as well as to protect those individuals' safety, must be withheld as confidential under Wis. Stat. § 19.35(1)(a). Examples include, but are not limited to, special agents and certain law enforcement employees who do investigative or undercover work.

Protected persons whose names require withholding for their health, safety, or financial security must also be withheld as confidential under Wis. Stat. § 19.35(1)(a). Names of minors employed by agencies must be withheld as confidential under Wis. Stat. § 19.35(1)(a). Employee identification numbers must be withheld as confidential under Wis. Stat. § 19.35(1)(a). Those numbers are unique identifiers which, if cross-referenced to other data sets, reveal
confidential information about each employee (e.g., social security numbers, home addresses, benefits information, etc.).

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

RETENTION: EVENT (End of Fiscal Year) + 6 years and transfer to WHS

00291000. **CHAPTER 20 HISTORY** **FIS+20** **DEST** **N**

Records include the interim and final Chapter 20 schedule and summaries of the Wisconsin Statutes, agency requests at the appropriation level, and Governor's recommendations and individual decision item entries, as required by Wis. Stat. § 20.004(2).

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

RETENTION: EVENT (end of fiscal year) + 20 years and destroy

00292000. **EXECUTIVE BIENNIAL BUDGET MESSAGE** **FIS+6** **SHSW** **N**

Records include Budget Message, Summary of Tax-Exempt Devices, Executive Budgets, Budget in Brief, and Budget in Very Brief, in accordance with Wis. Stat. § 16.45.

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

RETENTION: EVENT (end of fiscal year) + 6 years and transfer to WHS

00293000. **EXECUTIVE BUDGET VETO MESSAGES** **FIS+6** **SHSW** **N**

Records include, but are not limited to, provision vetoes pertaining to budgets by the Governor, reasons why provisions were vetoed, supporting analysis and conclusions.

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

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

Dept # /210/ Department Name **BUDGET AND FINANCE-STATE BUDGET OFFICE**

RDA #	RDA Title	Retention	Disposition	PII
00294000.	EXECUTIVE BUDGET AND VETO BRIEFINGS	FIS+6	DEST	N

Briefings to the Governor regarding the Biennial Budget and veto recommendations, including but not limited to, statistics, research, and background 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.

RETENTION: EVENT (end of the fiscal year) + 6 years and destroy.

RDA #	RDA Title	Retention	Disposition	PII
00295000.	BIENNIAL BUDGET REPORT	FIS+6	SHSW	N

Per Wis. Stat. § 16.43, the DOA Secretary is required to provide a budget report to the Governor or Governor Elect and to each member of the next Legislature by November 20 of each even numbered year. The report includes a compilation of each agency's biennial budget request, as well as information on the actual and estimated revenues for the current and forthcoming biennium.

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

RETENTION: EVENT (end of fiscal year) + 6 years and transfer to WHS.

Dept # /213/ Department Name **CAPITAL FINANCE**

RDA #	RDA Title	Retention	Disposition	PII
00024000.	BOND LEGAL DOCUMENTS	EVT+4	DEST	Y

Changes in the Internal Revenue Service Rules now requires that we keep these documents for 4 years after maturity. (Function Transferred from Facilities Management in FY 1986).

Wisconsin Stat. ch. 18 requires DOA to issue bond legal documents and issue operating notes legal documents. Section 16.76(4) of Wisconsin Statutes, authorizes DOA to issue Master Lease Certificates of Participation.

This is a single depository of all state general and revenue obligation debt. These documents are the original debt contract and working file showing the state's long-term obligation, bearing live signature and representing a legal transcript in the event of litigation.

Documents include, but are not limited to the following: Operating Notes, Master Lease, Public Offering Documents, Working Files, Veterans and Transportation Revenue bonds.

RETENTION: EVENT (Maturity date) + 4 years and destroy confidential

Dept # /216/ Department Name **ENVIRONMENTAL IMPROVEMENT FUND**

RDA #	RDA Title	Retention	Disposition	PII
00117000.	MUNICIPAL FINANCIAL STATEMENTS AND FEDERAL SINGLE AUDITS	EVT+4	DEST	Y

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program and Land Recycling Loan Program.

The municipalities that receive loans from these programs are required to submit annually their financial statements and in some cases Federal Single Audit reports.

The financial statements and Federal Single Audit reports should be kept for 4 calendar years.

RETENTION: EVENT (Calendar year of financial statements) + 4 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00118000.	ENVIRONMENTAL IMPROVEMENT FUND (EIF) MANAGEMENT INFORMATION	EVT+5	DEST	N

RDA #	RDA Title	Retention	Disposition	PII

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program and Land Recycling Loan Program.

The EIF financial transactions are recorded in a comprehensive database system known as the Environmental Improvement Fund Management Information System. The system records data such as municipality names and address, state aids, census information, loan disbursements, loan payments, loan adjustments, loan collaterals, loan underwriting notes, receipt of financial statements, funds capitalization transactions, transfers between funds, transfers out of funds, Clean Water Bond issues, investment agreements and various other transaction related data.

The records should be maintained until final bond maturity plus 5 years for any potential rebate and litigation purposes. Most loans are written for a term of 20 years.

RETENTION: EVENT (Final bond maturity) + 5 years and destroy

00119000. **ADMINISTRATIVE FILES - DISBURSEMENT AND FUND TRANSFER RECORDS** **FIS+20** **SHSW** **Y**

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program and Land Recycling Loan Program.

Certain administrative documents are generated in the operation of the loan programs relating to transactions such as the disbursement of funds to municipalities, the movement of money into, out of and between funds maintained by the EIF and other routine financial transactions.

The EIF Administrative Files should be kept for 20 years after the fiscal year that the files originated in.

RETENTION: EVENT (Fiscal year) + 20 years and transfer to State Archives (WHS)

00195000. **CLOSED-OUT LOAN RECORDS - LOAN APPLICATION, BOND TRANSCRIPT, A** **EVT+4** **DEST** **Y**

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program and Land Recycling Loan Program.

When the construction of a municipal project is deemed complete, and the project has final approval from DNR, the project is classified as "closed-out". Once the project is Closed-out, the detail records related to the financing, including the loan file, bond transcript and disbursement file, are sent to the State Records Center for storage until the State's loan on the project is fully repaid.

The Closed-out Loan Records should be maintained for the life of the loan plus 4 years for any potential rebate and litigation purposes.

RETENTION: EVENT (Final bond maturity date) + 4 years and destroy

00196000. **CLEAN WATER PROGRAM APPLICATIONS & RELATED MATERIALS** **EVT+4** **DEST** **N**

Under Wis. Stat. §§ 281.58, 281.59, and 281.61 and Wis. Admin. Code chs. NR 162 and 166, the State of Wisconsin implements State Revolving Funds (SRFs) for the Clean Water Fund Program (CWFP) and Safe Drinking Water Loan Program (SDWLP) that combine federal capitalization grants from the U.S. environmental Protection Agency (EPA) with state funding to provide financial assistance to municipalities in the form of subsidized loans for drinking water, wastewater, and storm water infrastructure projects.

This RDA includes incomplete applications, withdrawn applications, denied loans, and related correspondence and materials for the CWFP and SDWLP. Application materials include, but are not limited to, application, municipal budgets, financial statements, correspondence, and other documents needed to complete the loan application. Municipalities that have dropped off the funding list may reapply, if the
municipality reapplies within three years from the date of incomplete application, date application is withdrawn, or date of loan denial.

RETENTION: EVENT (Date of Incomplete Application, Date Application Withdrawn, or Date of Loan Denial) + 4 years and destroy

RDA #	RDA Title	Retention	Disposition	PII

00201000. **COMPREHENSIVE ANNUAL FINANCIAL REPORT (CAFR) WORKPAPERS** **FIS+10** **DEST** **N**

The DOA Financial Reporting Section prepares a Comprehensive Annual Financial Report (CAFR), describing the State's financial condition. This annual report is the official , audited financial report for the State of Wisconsin. It is prepared in compliance with generally accepted accounting principles (GAAP). It includes management's discussion and analysis , government-wide financial statements, fund financial statements, notes to the financial statements and financial statements and additional required

supplementary information. In addition, introductory information and a detail statistical section are included.

This record series documents development of each year's CAFR. It includes varied subject files, detailed reports received and/or generated in the process of developing or reconciling information in the CAFR, and agency files. Subject files contain information on interaction with the Legislative Audit Bureau; agency accountants; the State Budget Office. Subject files contain detailed information on subjects like capital assets, long-term debt and General Fund activity. Agency files contain background information and correspondence as well as adjusting entries and financial statements.

RETENTION: EVENT (Fiscal) + 10 years and destroy

00041000. APPLICATION FOR RACETRACK LICENSE EVT+30 SHSW N

The Division of Gaming is required to regulate pari-mutuel racing pursuant to chapter Wis. Admin Code ch. Game 5 of the Wisconsin Administrative Code. Applications for constructing, owning and operating a racetrack in Wisconsin are maintained by Gaming.

Series includes applications for constructing, owning and operating racetracks; prelicensing questions; and tapes of public hearings and local government meetings at which Gaming appears because track construction or other issues related to the track application is discussed.

RETENTION: EVENT (Application denial or track closure) + 30 years and transfer to State Archives (WHS)

00047000. BINGO LICENSING CASE FILES CR+4 DEST Y

Pursuant to Chapter 563 of the Wisconsin Statutes, Gaming is required to license organizations to hold bingo occasions. Applications must be submitted annually. The applications contain information concerning the organization, individuals designated responsible for gross receipts, supervisors and specific dates of bingo occasions. Additionally, Gaming is required to license those who sell bingo supplies and equipment to licensed bingo organizations.

This series includes: original application for license, organizations constitution, by-laws, articles of incorporation or charter, bingo occasion reports, bingo audit and inspection reports. For organizations that sell bingo supplies and equipment, the series includes application for licensure, samples of bingo cards sold and statements showing gross receipts from the sale of bingo supplies and equipment during the preceding year.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. §. 19.36(1O)(a) and (13).

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

00055000. NEGOTIATION MATERIALS P PERM Y

Pursuant to Chapter 569 of the Wisconsin Statutes, Gaming is required to coordinate the regulatory activities of Indian Gaming; function as a liaison between Indians, the public and the state; function as a clearinghouse for information on Indian Gaming; and assist the Governor in deciding the types of gaming conducted on Indian lands and in entering into compacts under Wis. Stat. § 14.035 .

The Wisconsin tribes have signed compacts with the State of Wisconsin to offer gaming facilities in Wisconsin. Series includes information regarding the compact negotiation and drafting process.

Permanent retention is based on the historic nature of compact negotiation.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. § 19.36(10)(a) and (13).

RETENTION: Permanent

00384000. DATA COLLECTION SYSTEM RECORDS (00384000.) EVT+3 DEST Y

Pursuant to Chapter 569 of the Wisconsin Statutes, Gaming is required to coordinate the regulatory activities of Indian Gaming; function as a liaison between Indians, the public and the State; function as a clearinghouse for information on Indian Gaming and assist the Governor in deciding the types of gaming conducted in Indian lands and in entering into compacts under Wis. Stat. §14.035 .

The series resides in an automated system for collecting confidential gaming revenue data from each tribal gaming operation. Records include revenue, payout and variance data for each device in operation. Tribes must submit the information per State/Tribal Compacts and information is accepted and retained on the State's independent Data Collection System server pursuant to the requirements of the

Compacts.

Data collected by the system is deleted from 3 years after the date of submission except for records for the Oneida Nation which is covered under RDA- Data Collection System Records-Oneida Nation.

Section X B of the State/Tribal Gaming Compacts require confidentiality. In addition, some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. §19.36(10)(a) and (13).

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

00385000. TRIBAL FILES CR+7 DEST Y

Pursuant to Chapter 569 of the Wisconsin Statutes, the Division of Gaming is required to coordinate the regulatory activities of Indian Gaming; function as a liaison between Indians, the public and the state; function as a clearinghouse for information on Indian Gaming and assist the Governor in deciding the types of gaming conducted in Indian lands and in entering into compacts under Wis. Stat. §14.035.

This series contains correspondence and related documents on Indian Gaming issues. General information includes litigation instituted against the Bureau of Indian Affairs by other states or tribes , correspondence to the general public, proposed legislation, etc. Tribal specific items include correspondence , electronic games of chance notification, Gaming Laboratories International approvals , final compact documents. Additionally , this series contains information regarding tribal audit findings , financial information, supporting audit documentation and correspondence between the tribes and the state.

State/tribal compacts require the information stated above to be retained for seven (7) years. Section XB of the State/Tribal Gaming Compacts require confidentiality . The records contain some personally identifiable information, such as social security numbers and financial account numbers, that may be confidential. See 5 U.S.C. 552a; Wis. Stat. § 19.36(1O)(a) and (13).

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

00386000. GAMING-RELATED CONTRACTORS INFORMATION EVT+20 DEST Y

Pursuant to Chapter 569 of the Wisconsin Statutes, the Division of Gaming is required to coordinate the regulatory activities of Indian Gaming; function as a liaison between Indians, the public and the state; function as a clearinghouse for information on Indian Gaming and assist the Governor in deciding the types of gaming conducted in Indian lands and in entering into compacts under Wis. Stat. §14.035 .

The state/tribal compacts provide that any person who enters or maintains a class Ill gaming-related contract with a tribe, under which the person will receive more than between $10,000-$50 ,000 must hold a Gaming-issued certificate. Certification duration is 2 years. This retention allows for review of historical documents as part of the recertification process. Reports are historically significant and useful in future investigations.

This series contains the following general information regarding each vendor: correspondence generated from review of the original and renewal applications; memos to Gaming and Dept. of Justice staff; letters to tribes regarding the contractor's eligibility for certification; correspondence to the application regarding Gaming's review of the application. It also contains the following information regarding background investigations : application submitted by the vendor; supporting documents and personal disclosure forms completed by applicant's principals; principal's supporting documents which include description of applicant's business, description of gaming relationships with Wisconsin tribes and other tribes; business structure information, tax forms , criminal history records, audited financial statements and sources of capital; fingerprint cards and photos of principals. Additionally, this series consists of the report of the auditor and/or investigator on the results of the investigation of the application for gaming-related contractor certification.

Section X B of the State/Tribal Gaming Compacts require confidentiality . In addition, some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. §. 19.36(1O)(a) and (13).

RETENTION: EVENT (Expiration of final certification) + 20 years and destroy confidential

00387000. DATA COLLECTION SYSTEM RECORDS - ONEIDA NATION EVT+1 DEST Y

This RDA is required to provide disposition authorization to meet a Memorandum of Understanding with the Oneida Nation of Wisconsin requiring deletion of records 12 months after submission.

Pursuant to Chapter 569 of the Wisconsin Statutes, Gaming is required to coordinate the regulatory activities of Indian Gaming; function as a liaison between Indians, the public and the State; function as a clearinghouse for information on Indian Gaming and assist the Governor in deciding the types of gaming conducted in Indian lands and in entering into compacts under Wis. Stat. §14.035.

The series resides in an automated system for collecting confidential gaming revenue data from each tribal gaming operation. Records include revenue, payout and variance data for each device in operation. Tribes must submit the information per State/Tribal Compacts and information is accepted and retained on the State's independent Data Collection System server pursuant to the requirements of the Compacts.

Section X B of the State/Tribal Gaming Compacts require confidentiality. In addition, some personally identifiable information in the records , such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. §19 .36(1O)(a) and (13).

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

00400000. SECURITY INVESTIGATION FILES EVT+10 DEST Y

The Division of Gaming is required to regulate charitable gaming pursuant to Wis. Admin Code chs. Game 1-44.

The series consists of records of Gaming's investigations of gaming laws in chapter 563 of the Wisconsin Statutes. These investigations sometimes involve local law enforcement. Investigations covered by this series include violations of bingo and raffle laws.

Retain for 10 years and destroy confidentially.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. §19.36(10)(a) and (13).

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

00402000. RAFFLE LICENSE FILES CR+4 DEST Y

Pursuant to Chapter 563 of the Wisconsin Statutes, Gaming is required to license organizations to conduct raffles. Reports and licensing are required annually and entitle qualified non-profit organizations to conduct raffles.

This series includes the following information: original application for licensure, organizations constitution , by-laws, articles of incorporation or charter, annual raffle financial reports and annual renewal applications .

Retain for 4 years and destroy.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. § 19.36(10)(a) and (13).

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

00404000. DATA COLLECTION SYSTEM RECORDS (00404000.) EVT+10 DEST Y

This RDA is required to provide disposition authorization of records generated from data collection system as system data is cyclically updated with new information. This records series is required to coordinate the regulatory activities of Indian Gaming, maintain revenue records, and fulfill the requirements of State/Tribal Gaming Compacts.

Pursuant to chapter 569 of the Wisconsin Statutes, Gaming is required to coordinate the regulatory activities of Indian Gaming; function as a liaison between Indians, the public and the State; function as a clearinghouse for information on Indian Gaming and assist the Governor in deciding the types of gaming conducted in Indian lands and in entering into compacts under Wis. Stat. § 14.035.

This series consists of reports generated from an automated system for collecting confidential gaming revenue data from each tribal gaming operation. Data includes revenue, payout and variance data for each device in operation. Tribes must submit the information per State/Tribal Compacts and information is accepted and retained on the State's independent Data Collection System server pursuant to the requirements of the Compacts.

This RDA is required to coordinate the regulatory activities of Indian Gaming, maintain revenue records, and fulfill the requirements of State/Tribal Gaming Compacts.

Section X B of the State/Tribal Gaming Compacts require confidentiality. In addition, some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. § 19.36(10)(a) and (13).

RETENTION: EVENT (Casino closure) + 10 years and destroy confidential

00033000. TRANSFER RECORDS EVT+5 DEST N

Series consists of records relating to the screening, requisition, receipt, maintenance, inventory, and final distribution of each piece of federal property in the WI Federal Property Program. Records in this series are filed by federal property number. There are separate RDAs for Eligibility Records and Customer Records, which are filed by applicant.

Records in this series are closed when the property is no longer considered federal property (restriction period has lapsed). Closed

records are destroyed after five (5) years.

RETENTION: EVENT (Closed) + 5 years and destroy

00034000. CUSTOMER RECORDS EVT+5 DEST Y

Series consists of files for each customer (donee). It is a separate file from the Eligibility Records, covered by a separate RDA. Customer Records series includes records pertaining to requests for federal property, purchases of federal property, correspondence between the program and the donee, certification that the donee is actively utilizing and complying with federal regulations relating to use of the federal property, onsite visits during restriction periods, final dispositions/release of the federal property to the donee, and contact information for the donee.

Records in this series are closed when the donee's eligibility expires and the donee no longer participates in the program. Donee's eligibility and participation may lapse for several days, months or years. Therefore, closed records will be stored onsite for five (5) years from the closed date, so past donee's records are easily accessible.

Arrangement: Filed by class code (public education, non-profit education, local units of government, etc.), by county, by eligibility sequence number.

*Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. § 1936(10)(a) and (13).

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

00035000. DIRECTOR'S FILE EVT+5 SHSW N

Records relate to the administration of the program and include: program planning and financial projections, the approved state plan of operations, internal operations handbook, marketing studies, project reports, internal correspondence, correspondence from the National Association of State Agencies for Surplus Property, correspondence and directives from the federal government (GSA, OMB, DOD, etc}, and other records relating to the administration of the program.

RETENTION: EVENT (Release/publish date) + 5 years and transfer to State Archives (WHS)

00194000. ELIGIBILITY RECORDS EVT+5 DEST Y

Series consists of files for each Wisconsin Federal Property Program applicant relating to the applicant's eligibility determination, including general correspondence with the applicant. There is a separate RDA for Customer Records, which are also filed by applicant, and for Transfer Records, which are filed by federal property number.

Records in this series are closed when the applicant's eligibility expires, and the applicant no longer participates in the program. Applicant's eligibility may lapse for several days, months or years. Therefore, closed records will be stored onsite for five (5) years from the closed date, so past applicant records are easily accessible.

Arrangement: Filed by class code (public education, non-profit education, local units of government, etc.), by county, by eligibility sequence number.

*Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5. U.S. C. 552a; Wis. Stat. § 1936(10)(a) and (13).

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

00074000. INVENTORY MAINTENANCE REQUESTS EVT+25 DEST N

Inventory maintenance requests submitted to the State Records Center by their clients. These records include, but are not limited to, inventory changes, deletions, and organizational moves.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 51.30; 118.125; and 146.82. Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a).

RETENTION: EVENT (Date request completed) + 25 years and destroy confidential

00943000. RECORDS MANAGEMENT REVIEWS EVT+5 SHSW Y

RDA #	RDA Title	Retention	Disposition	PII

The Department of Administration (DOA), authority under Wis. Stat. § 16.62(1)(c), is to periodically audit the records management programs of state agencies and the University of Wisconsin Hospitals and Clinics Authority and recommend improvements in records management practices. The purpose of these reviews is to ensure agencies have implemented records management policies, procedures, and standards that comply with records retention and disposition requirements as prescribed in Wis. Stats. §§ 16.61 and 16.62 and Wis. Admin. Code ch. Adm 12.

Records in this series include, but are not limited to, review questions and agency responses, supporting documentation, the report to the agency, responses to the report, and corrective action taken.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(10) (certain personally identifiable information of employees); 804.01(2)(c) (attorney work product); and 905.03 (attorney-client privileged information). Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, information that would create security or safety risks if disclosed.

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 final report) + 5 years and transfer to State Archives (WHS)

RDA #	RDA Title	Retention	Disposition	PII

00930000. **WOMEN-OWNED BUSINESS ENTERPRISE CERTIFICATION, DECERTIFICATIO** **EVT+5** **DEST** **Y**

The Women-Owned Business Enterprise (WBE) Program promotes the availability of procurement opportunities in providing a state designation that attests to the ownership of the business by a woman, or women, who hold at least 51% of the ownership, control, and management of a business.

In accordance with Wis. Stat. § 16.285 and Wis. Admin. Code ch. Adm 83, DOA maintains records on WBE applicants and program eligibility. Records include, but are not limited to, applicant's name, address, federal identification number or social security number, addresses and phone numbers; birth certificates, passports or driver's licenses; taxes, W-2's, Profit & Loss (P&L) statements and balance sheets, bank signature cards, business contracts; business corporate documents such as articles of incorporation, annual filings with the Wisconsin Department of Financial Institutions (DFI), by-laws, operating agreements, copies of business leases, distributor agreements, invoices, certification letters, de-certification letters, correspondence, and documentation related to the cycle of program eligibility, including on-site visit reports.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552(a); Wis. Stat. § 19.35(1)(a); Wis. Stat. §§ 19.36(5), (10)(a), and (13); Wis. Stat. §§ 71.78(1), (5), and (6); and Wis. Stat. §§ 134.90(1)(c).

Event is date of certification, recertification, de-certification, denial letter, or final decision of an appeal resulting in a denial as provided under Wis. Admin Code ch. Adm 83.

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 certification, recertification, de-certification, denial letter, or final decision of an appeal resulting in a denial) + 5 years and destroy confidential

00932000. **WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM** **EVT+5** **SHSW** **Y**

Under Wis. Admin Code ch. Adm 83, the Women-Owned Business Enterprise Program promotes the availability of procurement opportunities, and collaborates with, other women business organizations to strengthen the women-owned businesses. This RDA includes, but is not limited to, information such as research materials, meeting agendas, notices and minutes, data for reports, brochures, committee reports and correspondence, names, addresses and e-mails of persons who wish to be mailed program updates and other miscellaneous material not directly related to certification or de-certification.

Records may contain personally identifiable information, per Wis. Stat. § 19.62(5).

Dept #	/335/	Department Name	WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM		
RDA #	RDA Title		Retention	Disposition	PII

RETENTION: EVENT (Receipt of, or date on, material/record) + 5 years and transfer to State Archives (WHS)

Dept #	/337/	Department Name	DISABLED VETERAN-OWNED BUSINESS		
RDA #	RDA Title		Retention	Disposition	PII

00940000. **DISABLED VETERAN-OWNED BUSINESS CERTIFICATION, DECERTIFICATION** **EVT+5** **DEST** **Y**

The Disabled Veteran-Owned Business Enterprise Program increases the opportunity for disabled veteran businesses to sell their products and services to the State of Wisconsin as well as promotes the availability of procurement opportunities for, and collaborates with, disabled veterans who own their own business.

In accordance with Wis. Stat. § 16.283 and in accordance with Wis. Admin. Code ch. Adm 82, DOA maintains records on program applicants and eligibility. Records include, but are not limited to, applicant's name, address, federal identification number or social security number, addresses and phone numbers; birth certificates, passports or driver's licenses; taxes, W-2's, Profit & Loss (P&L) statements and balance sheets, bank signature cards, business contracts; business corporate documents such as articles of incorporation, annual filings with the Wisconsin Department of Financial Institutions (DFI), by-laws, operating agreements, copies of business leases, distributor agreements, invoices, certification letters, de-certification letters,
correspondence, and documentation related to the cycle of program eligibility, including on-site visit reports.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552(a); Wis. Stat. § 19.35(1)(a); Wis. Stat. §§ 19.36(5), (10)(a), and (13); Wis. Stat. §§ 71.78(1), (5), and (6); and Wis. Stat. §§ 134.90(1)(c).

Event is date of certification, recertification, de-certification, denial letter, or final decision of an appeal resulting in a denial as provided under Wis. Stat. § 16.283(3) and Wis. Admin. Code ch. Adm 82.

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

RETENTION: EVENT (date of certification, recertification, de-certification, denial letter, or final decision of an appeal resulting in a denial) + 5 years and destroy confidential

00942000. **DISABLED VETERAN-OWNED BUSINESS PROGRAM SUBJECT FILES** **EVT+5** **SHSW** **Y**

Under Wis. Admin Code ch. Adm 82, the Disabled Veteran-Owned Business Program promotes the availability of procurement opportunities for, and collaborates with, businesses owned by disabled veterans and related organizations. This RDA includes, but is not limited to, information such as research materials, meeting agendas, notices and minutes, data for reports, brochures, flyers, newspaper clippings, Promotional materials, general correspondence, and other miscellaneous material not directly related to certification or de-certification.

Records may contain personally identifiable information, per Wis. Stat. § 19.62(5).

RETENTION: EVENT (Receipt of, or date on, material/record) + 5 years and transfer to State Archives (WHS)

Dept #	/340/	Department Name	MINORITY BUSINESS ENTERPRISE		
RDA #	RDA Title		Retention	Disposition	PII

00408000. **MINORITY OWNED BUSINESS ENTERPRISE CERTIFICATION, decertification,** **EVT+5** **DEST** **Y**

The Minority Owned Business Enterprise Program promotes the availability of procurement opportunities for minorities who own their own business.

Under Wis. Stat. § 16.287 and Wis. Admin. Code ch. Adm 84, records include, but are not limited to, applicant's name, address, federal identification number or social security number, addresses and phone numbers; birth certificates, passports or driver's licenses; taxes, W-2's, Profit & Loss (P&L) statements and balance sheets, bank signature cards, business contracts; business corporate documents such as articles of incorporation, annual filings with the Wisconsin Department of Financial Institutions (DFI), by-laws, operating agreements,
copies of business leases, distributor agreements, invoices, certification letters, de-certification letters, correspondence, and documentation related to the cycle of program eligibility, including on-site visit reports.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552(a); Wis. Stat. § 19.35(1)(a); Wis. Stat. §§ 19.36(5), (10)(a), and (13); Wis. Stat. §§ 71.78(1), (5), and (6); and Wis. Stat. §§ 134.90(1)(c).
Event is date of certification, recertification, de-certification, denial letter, or final decision of an appeal resulting in a denial as provided under Wis. Stat. § 16.287(2) and Wis. Admin. Code ch. Adm 84.

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 certification, recertification, de-certification, denial letter, or final decision of an appeal resulting in a denial) + 5 years and destroy confidential

00249000. **TEACH PROGRAM RECORDS** **EVT+10** **DEST** **N**

The Technology for Educational Achievement (TEACH) program is authorized under Wis. Stat. Chapter 16, Subchapter IX. TEACH is administered by the Wisconsin Department of Administration, Division of Enterprise Technology. Wis. Stat. § 16.997, authorizes TEACH to provide eligible educational agencies access to subsidized data lines and video links through its educational telecommunications access
program.

Records may include:
Grant Applications and Awards - Applications, awards, conditions, approval letters, original and continuing applications, denial letters, email letters, program audits, assessments and evaluations, budget worksheets, purchase orders, expenditure reports and other program and fiscal related supporting documentations. Annual, status and final reports may be included. Other grants may include block grants, training and technical assistance grants, telecommunications access grants and new grants awarded for infrastructure financial assistance. This information may be maintained for each organization receiving a grant.

TEACH Applications - Original and continuing applications for participation in the TEACH program, along with email letters, program audits and assessments and evaluations.

TEACH Financial Records - Letters of Authority, billing, payments, service requests and service upgrade requests, fiscal reports and audits, monthly financial statements, investment reports and reconciliation work papers, contribution documentation and correspondence, annual audit report, grant transactions, insurance policies and documentation, and office furniture and equipment records.

The document retention period was extended from 5 years to 1 O years in the FCC's E-rate Modernization Order on July 11, 2014 (Order ** 262-264) .

*** Event = 10 years after the latter of the last day of the applicable funding year or the service delivery deadline for the funding request.

RETENTION: EVENT (See above) + 10 years and destroy

00168000. **ASBESTOS ABATEMENT FILES** **P** **PERM** **Y**

These records are federally required in response to regulations on asbestos abatement activity, mandated by the Occupational Safety and Health Administration (OSHA). The regulating guideline for asbestos abatement projects is found in 29 C.F.R. § 1926.1101, Asbestos Standard for Construction.

Under those rules, OSHA requires that these records be kept for duration of ownership of building. However, because there may be no time limit to the liability of the state asbestos litigation, these records need to be retained permanently.

Records retained in these files include information about asbestos abatement contractors, scope of asbestos removal, and waste

manifest/landfill disposal records.

Some personally identifiable information in the records such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. §19.36(10)(a) and (13).

RETENTION: Permanent

00311000. CENTRAL PLANT FUEL REQUESTS CR+1 DEST N

The Central Fuel Procurement program was created by DOA under the authorization of Wis. Stat. § 16.895. Under the fuel · procurement program, monthly fuel requirements (natural gas, coal, tire derived fuel, and paper fuel pellets, etc.) are received from the agency central heating plants and entered on a spreadsheet. This RDA covers the spreadsheet, which is used to determine fuel volume requirements, assist with ordering fuel, verify past fuel usage, and resolve contract disputes.

RETENTION: EVENT (Creation) + 1 year and destroy

00390000. WISCONSIN ASBESTOS AND LEAD MANAGEMENT (WALMS) P PERM Y

The Division of Facilities Development and Management (DFDM) is authorized by Wis. Stat. §16.85 to design and construct all state facilities. Wis. Admin. Code ch. NR447.06 requires that prior to renovation, building owners are to inspect for asbestos and notify construction workers of the location and quantity of Asbestos Containing Materials.

DFDM maintains contracts with consultants for the required asbestos inspection and air monitoring. Upon completion of building inspections an official inspection report is prepared and submitted to DFDM. This report include: building information, floor plans, material inventory by room, bulk sample data, and limited testing for lead based paint. The inspection report also typically includes copies of contractor licenses which include home address information.

Records of actual asbestos removal projects are retained under RDA 505/00168000.

Because there may be no time limit to the liability of the state for asbestos litigation, these records are to be retained permanently.

Some personally identifiable information in the records such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; Wis. Stat. §19.36(10)(a) and (13).

RETENTION: Permanent

00391000. ENVIRONMENTAL INVESTIGATION AND REMEDIATION FILES P PERM N

The Division of Facilities & Management is authorized by Wis. Stat. §16.85 to design and construct all state facilities. One component of this responsibility is compliance with environmental protection laws and rules. Environmental site investigations are typically conducted in compliance with Wis. Admin. Code ch. NR700.

These records are project files for environmental site investigations required by the Department of Natural Resources and /or the US Environmental Protection Agency. There are frequent instances when a regulating agency requires the property owner re-address the environmental situation at a site and access to records of previous work conducted on the property becomes necessary. The file is closed upon completion of remediation project.

When construction or excavation is performed on a site, which has undergone environmental remediation in the past, these records are needed to find out exactly what contamination, if any, remains in the subsurface and now must be dealt with or avoided, or what in-place engineering barriers must be replaced.

When a property parcel is to be transferred to a new owner, access to these historical records related to environmental contamination is critical and usually demanded by the purchasing party.

Because there is no time limit to the liability of the state for most litigation related to environmental remediation these records must be retained permanently.

RETENTION: Permanent

00392000. ROOFING AND PLAZA GUARANTEE AND WARRANTY DATA EVT+20 DEST N

The Division of Facilities & Management is authorized by Wis. Stat. § 16.85 to design and construct all state facilities.

Roofing warranty files are created for all roofing and re-roofing projects upon completion. Projects are considered complete after final payments are made to all contractors, architects, and engineers.

The files contain State guarantees and manufacturers warranties for roof systems, metal fabrications, lightning protection, asbestos testing, and other related items. Guarantee/warranty information received by the Agency upon closeout of new building construction projects is also maintained under this RDA.

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

Dept # **I427I** Department Name **LIRC**

RDA #	RDA Title	Retention	Disposition	PII
00409000.	**UNEMPLOYMENT INSURANCE COURT CASE FILES**	**EVT+7**	**SHSW**	**Y**

Files are created by the Labor and Industry Review Commission once a summons and complaints (appeal) is received from an Unemployment Insurance Commission decision.

Records in this series include, but are not limited to:
1. Court pleadings
2. Motions
3. Appeal briefs
4. Hearing transcript
5. Correspondence
6. Appeal tribunal decisions
7. Commission decisions
8. Circuit Court decisions, Court of Appeals decisions and Supreme Court decisions if appealed to those courts
9. Digest summary (when applicable)

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 last court decision) + 7 years and transfer to State Archives (WHS)

Dept # **I475I** Department Name **DISTRICT ATTORNEY ADMINISTRATION**

RDA #	RDA Title	Retention	Disposition	PII
00149000.	**STATE PROSECUTORS CORRESPONDENCE**	**CR+2**	**DEST**	**Y**

Files may contain routine correspondence and other communications consisting of responses to verbal l or written inquiries by the State Prosecutor's Office to approximately 430 State Prosecutors (including elected District Attorneys and appointed Deputy DAs and Assistant DAs), staff, other legal entities, and/or the general public.

This correspondence does not include documents that are part of a new or existing case file.

Some personally identifiable information in the records, such as social security numbers and financial l account numbers, may be confidential. See 5 U.S.C 552a, Wis . Stat. §19.36(10)(a) and (13).

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

00312000.	**STATE PROSECUTORS OFFICIAL MEMORANDA AND LEGAL OPINIONS**	**CR+20**	**SHSW**	**N**

These files contain State Prosecutor's Office Memoranda (Numbered Series) covering both general information and specific Prosecutor's Office policies for District Attorney s or the State Prosecutor's Office - written by DOA and/or Department of Justice attorneys.

RETENTION: EVENT (Creation) + 20 years and transfer to State Archives (WHS)

Dept # **I530I** Department Name **ADMIN SERVICES-FINANCIAL MGMT SERVICES**

RDA #	RDA Title	Retention	Disposition	PII
00411000.	**CONTENT ASSET MANAGEMENT RECORDS**	**EVT+7**	**DEST**	**Y**

Records used to document the acquisition, location, custodianship, and disposal of content assets. Records may include, but are not limited to, acquisition documentation, transfer authorizations, transfer of location, trade-in details, lost/stolen incidents, retirement, and related correspondence.

All property that is not permanently attached to a building is considered contents. Contents are property that generally does not leave the premise. Examples of contents include furniture, supplies, machinery, and equipment that is not a permanent part of the building, including desktop and laptop computers. Content assets are trackable assets that can be both non-capital and capital (fixed asset). A non-capital asset is an asset that costs $4,999 and below while a capital asset is an asset that costs $5,000 and above and has a

RDA #	RDA Title	Retention	Disposition	PII

useful life of one year or more.

Records in this series may be confidential pursuant to Wis. Stats. §§ 19.35(1)(a) and 19.36 (2), (5), (8), (10), (11) and (13) and 28 C.F.R. §§ 20.21(c)(2) and 20.33.

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 (retirement of asset) + 7 years and destroy confidential.

RDA #	RDA Title	Retention	Disposition	PII

00162000. ENERGY CONTRACT FILES EVT+7 DEST Y

The Division performs contractual work with other state agencies, universities, local units of government, businesses, and individuals to implement and promote programs such as energy conservation, energy data collection, alternative energy supplies development, wood waste and waste to energy, wind energy, energy development and demonstration grants, and recycling programs.

The legislature gives final approval for grants.

Record series includes: contractual agreement with grant recipient, amendments, budgets, purchase orders, proposals, work plans, progress reports, background and working papers, invoices, and related material and correspondence.

Retention is seven years from the closing date of the contract.

RETENTION: EVENT (Closing date of the contract) + 7 years and destroy confidential

00183000. ENERGY PROGRAM FILES EVT+10 SHSW N

The Energy, Housing and Community Resources Division develops programs for dealing with directives as mandated by the Legislature to implement and promote programs such as energy conservation, energy data collection, and issuing energy reduction benefits.

This RDA includes, but is not limited to, basic program instructions, regulations, legislation, budgets, and research materials.

These programs are reviewed yearly for renewal and this information would save considerable time and money when revival of the program is required.

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 program) + 10 years and transfer to State Archives (WHS)

RDA #	RDA Title	Retention	Disposition	PII

00104000. CONTINUUM OF CARE PROGRAM EVT+5 DEST Y

The U.S. Department of Housing and Urban Development (HUD), under The McKinney-Vento Homeless Assistance Act (42 U.S.C. §§ 11371 and 11381-11389) as amended by the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act of 2009 (P. L. 111-22), authorizes funding for Continuum of Care (CoC) programs. The Department of Administration's (DOA's) CoC program grant funds are awarded to one or more subgrantee agencies to provide rental assistance to persons who are chronically homeless with a disability. The records retained by DOA pertain to administration of the grant funds, such as awards to the department, applications for funding, contracts, reports, payments, substantive correspondence, and monitoring.

Under 24 C.F.R. § 578 .103(c), the CoC program requires DOA and grantees to retain program records for five years - which is a

longer retention period than ADM00013 (Grant Documentation). Therefore, RDA 00104000 cannot be superseded by ADM00013.

These records may contain names of homeless individuals and their families who apply for and/or receive CoC assistance. Under 24 C.F.R. § 578.103(b), records pertaining to such individuals must be kept secure and confidential. Under state law, the provisions of Wis. Stat. §§ 49 .81 and 49 .83 protect the confidentiality of applicants for or recipients of public assistance.

RETENTION: EVENT (Date of final report) + 5 years and destroy confidential

00213000. FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) - GRANT C EVT+5 DEST N

The Division operates the Federal Home Investment Partnership Program (HOME) for the State of Wisconsin. This program utilizes federal funding for the development, rehabilitation and purchase of affordable housing. This is a federal U.S. Department of Housing and Urban Development (HUD) program that is guided by federal law 24 CFR 92.508(7)(c)(1).

Record series includes: approved grant application, contracts, substantive correspondence and performance reports, as well as subject files and final product files.

Retention Period: ADMIN00013 was considered but would not apply due to HUD requirements for a 5 yr. retention 24 CFR 92.508(7)(c)(1).

RETENTION: EVENT (Grant closeout by HUD) + 5 years and destroy

00214000. HUD EMERGENCY SHELTER GRANT PROGRAM-GRANT CASE FILES EVT+10 DEST Y

The U.S. Department of Housing and Urban Development (HUD), under the McKinney-Vento Homeless Assistance Act, 42 U.S.C. §§ 11371-11378, amended by the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act of 2009, Pub. L. No. 111-22, Div. B, Title II, §§ 1201-1205, 123 Stat. 1678, 1678-80 (2009), authorizes funding for the Emergency Solutions Grants (ESG) Program. The Department of Administration's (DOA) ESG program grant funds are awarded to one or more subgrantee agencies to provide homeless prevention and rapid rehousing activities, street outreach activities, essential services, renovation and rehabilitation of shelter facilities, and shelter operating costs. The records retained by DOA pertain to administration of the grant funds, such as awards to the department, applications for funding, contracts, reports, payments, substantive correspondence, and monitoring.

Under Wis. Stat. § 16.35 and federal regulation 24 C.F.R. § 576.500(y)(2)-(3), the ESG program requires DOA and grantees to retain program records for 10 years - which is a longer retention period than ADM00013 (Grant Documentation). Therefore, RDA00214000 cannot be superseded by ADM00013.

These records may contain names of homeless individuals and their families who apply for, and/or receive, ESG assistance. Under 24 C.F.R. § 576.500(x), records pertaining to such individuals must be kept secure and confidential. Under state law, the provisions of Wis. Stat. §§ 49.81 and 49.83 protect the confidentiality of applicants for, or recipients of, public assistance.

RETENTION: EVENT (Closeout per HUD) + 10 years and destroy confidential

00221000. INTEREST BEARING REAL ESTATE TRUST ACCOUNT (IBRETA) EVT+4 DEST N

Interest on Real Estate Trust Accounts (IBRETA). This program is authorized under Wis. Stat. §16.351, and Wis. Stat. § 452.13.

This legislation requires the earmarking of interest from real estate trust accounts for homeless aid. The money would be utilized to assist existing Bureau programs.

Record series includes: applications, contracts, and correspondence and performance reports.

RETENTION: EVENT (Contract closeout) + 4 years and destroy

00222000. TRANSITIONAL HOUSING PROGRAM (THP) EVT+5 DEST N

Transitional Housing Program is guided by Wis. Stat.§ 16.306.

This program funds a variety of mechanisms that help formerly homeless persons or families achieve real, lasting economic independence. Funds may be used for one-time housing costs, educational or vocational training, transportation or other costs needed to assist the transitional housing participant in attaining self-sufficiency.

Records series includes: applications, contracts, correspondence, and performance reports.

Retention Period: ADM00013 was considered but would not apply due to HUD requirements for a 5-year retention 24 CFR 92.576.500(y).

Program Note:
In 2003 Transitional Housing Program, (THP) was combined with Emergency Solutions Grant Program (ESG), therefore, the THP files were combined with ESG files/HUD match programs.

RETENTION: EVENT (Upon grant closeout by HUD) + 5 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
00229000.	COMPREHENSIVE PLAN AND ASSOCIATED REPORTING	EVT+5	SHSW	N

The Division is responsible for preparing the State's Comprehensive Plan, which is a five-year plan for addressing housing needs per 24 C.F.R. pt. 91 and Wis. Stat.§ 16.302. The plan provides a statistical review of housing conditions in Wisconsin and outlines strategies for providing affordable and special needs housing where it is needed. Records include, but are not limited to, the Consolidated Plan, Annual Plan, Annual Performance Reports, and associated materials.

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

RETENTION: EVENT (End of 5-year plan) + 5 years and transfer to State Archives (WHS)

RDA #	RDA Title	Retention	Disposition	PII
00353000.	HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) - FINANCIAL REPORT	EVT+5	DEST	Y

The Division operates the federal HOME Investment Program (HOME) for the State of Wisconsin. This program is guided by federal law 24 CFR 92.508(7)(c)(2).

This program utilizes federal funding for the development, rehabilitation and purchase of affordable housing.

Record series includes: Financial reports and back up documentation.

Retention Period: ADMIN00013 was considered but would not apply due to HUD requirements for a 5 yr. retention 24 CFR 92.508(7)(c)(2).

RETENTION: EVENT (Upon grant closeout by HUD) + 5 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00354000.	FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) HOMEBUY	EVT+5	DEST	N

The Division operates the Federal Home Investment Partnership Program (HOME) for the State of Wisconsin. This program utilizes federal funding for the development, rehabilitation and purchase of affordable housing. This is a federal U.S. Department of Housing & Urban Development program that is guided by federal law 24 CFR 92.508(7)(c)(2).

Records series includes: approved grant applications, contracts, substantive correspondence and performance reports, as well as subject files and final product files.

Retention Period: ADMIN00013 was considered but would not apply due to HUD requirements for a 5 yr. retention 24 CFR 92.508(7)(c)(2).

RETENTION: EVENT (Upon grant closeout by HUD) + 5 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
00355000.	FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) HOMEBUY	EVT+10	DEST	Y

The Division operates the Federal Home Investment Partnership Program (HOME) for the State of Wisconsin. This program utilizes federal funding for the development (HUD) program that is guided by federal law 24 CFR 92.

Records series includes: correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

The HOME Homebuyer program specifies that records must be retained for the most recent five-year period; and for homeownership housing projects that impose recapture/resale restrictions, they must be retained five years after the affordability period terminates.

RETENTION: EVENT (Upon closeout of the grant by HUD) + 10 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00405000.	HOME TENANT BASED RENTAL ASSISTANCE	EVT+5	DEST	Y

The federal Home Investment Partnership Program (HOME) was created to help produce housing opportunities for households that earn not more than 80% of County Median Income (CMI). The Division of Energy, Housing and Community Resources (DEHCR) is providing Home Tenant Based Rental Assistance (TBRA) funds through local governments, housing authorities, and non-profit organizations or
provide home rental assistance, in association with support services coordinated by the participating agency, to help homeless persons and to prevent homelessness.

The records retained by DEHCR include, but are not limited to, administration of the funds, such as receipt of federal funds, applications for funding, contracts, reports, payments, substantive correspondence, and monitoring.

24 C.F. R. § 92.508(c)(3) states that for tenant-based rental assistance projects, records must be retained for five years after the period of rental assistance terminates -which is a longer retention period than ADM00013 (Grant Documentation). Therefore, RDA405 cannot be superseded by ADM00013.

These records may contain names of individuals and their families who apply for, and/or receive, TBRA funds. Under 24 C.F.R. §

92.508(d)(1), records pertaining to such individuals must be kept secure and confidential. Under state law, the provisions of Wis. Stat. §§ 49.81 and 49.83 protect the confidentiality of applicants for, or recipients of, public assistance.

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 (Termination Date of Rental Assistance) + 5 YEARS AND destroy confidential

00383A00. **STATE CAPITOL AND EXECUTIVE RESIDENCE BOARD (SCERB) MINUTES** **CR+50** **SHSW** **N**

This records series consists of Minutes of the SCERB meetings and any attachments which includes such material as project descriptions, Board action requests, proposals and related materials.

Justification for retaining beyond 30 years: The State Capitol and Executive Residence Board makes decision on renovations, repairs, installations of fixtures, decorative items or furnishings for the Capitol and Executive Residence grounds and buildings. The decision made by the Board are of historical importance and value and will be referred to when future renovations and purchases are made for the Capitol and Residence. Such historical reference documents help preserve the integrity of the most recent restoration of the Capitol building.

The minutes have been recorded on audio compact disc (CD) since 2006.

Electronic Records Appraisal Note: In order to safeguard the information contained in these records, to make sure that it remains available throughout the stated retention period, and to meet the requirements of Wis. Admin. Code ch. Adm 12, a readability and retrieval check must be done on the CDs at least every three years and transfer to new storage media at least every five years.

RETENTION: EVENT (Creation) + 50 years and transfer to State Archives (WHS)

00407000. **BACKGROUND CHECKS ON INDEPENDENT CONTRACTORS AND EMPLOYEE** **EVT+0/6** **DEST** **Y**

The Department of Administration requires some independent contractors and their employees to complete background checks. Since independent contractors and their employees may have access to state offices or non-public information, background checks need to be maintained for 6 and a half years after termination of employment. Independent contractor is defined in Wis. Stat. § 102.07(8).

Records include, but are not limited to, criminal checks, fiduciary checks, fingerprint documentation, and related documentation.

Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 8 U.S.C. § 1324a.(a) and (b); 15 U.S.C. § 1681; and Wis. Stat. §§ 19.35(1)(a), 19.36(10)(a) and (13).

Event is the termination of contractor's or their employee's employment from the State of Wisconsin.

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 + 6.5 years and destroy confidential

00170000. **INCIDENT CASE FILES - MAJOR FELONIES AND OTHER SIGNIFICANT CASES** **CR+75** **SHSW** **Y**

The Wisconsin State Capitol Police performs police functions to protect the safety and security of state property and employees, pursuant to its statutory responsibilities under sections Wis. Stat. §§ 16.84(2) & 16.843. The records in this series include, but are not limited to, officers' reports, photos, video and audio recordings related to an incident, and statements of victims and witnesses.

Records in this series relate to incidents that would constitute major felonies (e.g., all homicides, all child sexual assaults, incidents involving death or great bodily harm, most other serious offenses), that, pursuant to Wis. Stat. § 939.74(2), have statutes of limitations of more than 6 years, or have no statute of limitations and therefore must be retained for longer than 6 years, regardless of whether the incident has been referred for prosecution or whether prosecution has commenced.

Records in this series may also include records for which a retention period longer than the 7-year retention period set forth in RDA 170B may be needed for historical reference, for reporting purposes, or for any other reasons deemed necessary by Capitol Police leadership (Lieutenant or higher rank), including, but not limited to, investigations of deaths or other high profile cases, unsolved investigations, an un-apprehended suspect or out-of-state suspect pursuant to Wis. Stat. § 939.74(3), or for other victim considerations pursuant to Wis. Stat. § 939.74(4) or Wisconsin Const. Art. I, § 9m (Marsy's Law).

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(2) (certain law enforcement records); 19.36(4) (computer programs); 19.36(5) (trade secrets), 19.36(8) (law enforcement informants); 19.36(10) (certain Personally Identifiable Information of employees); 19.36(13) (financial identifying data); 48.396 and 48.78 (Children's Code), 51.30 (mental health treatment records, also HIPAA); 118.125 (pupil records, also FERPA); 146.82 (patient health care records, also HIPAA); 804.01(2)(c) and 905.03 (attorney work product and attorney-client privileged information); 938.396 and 938.78 (Juvenile Justice Code); 950.04 (crime victim/witness rights); Wisconsin Const. Art. I, § 9m (Marsy's Law crime victims' constitutional rights); 968.26 (John Doe); 968.40 (grand jury); and 28 C.F.R. pt. 20, subpart C (federally-protected criminal justice information (CJI)). Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, personally identifiable information of victims, witnesses, or collaterally mentioned individuals; law enforcement sensitive information; or other information that would create security or safety risks if disclosed.
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 (Creation) + 75 years and transfer to WHS

00170A00. AUDIO / VISUAL RECORDED INTERVIEWS CR+0/6 DEST Y

Capitol Police performs police functions pursuant to its statutory responsibility under sections Wis. Stat. § 16.84 and 16.843.

Series consists of audio and video recordings of interviews and interrogations conducted during investigations.

Records may be destroyed after 6 months unless they become evidence in a criminal proceeding, in which case they must be retained under RDA-Incident Case Files.

Record series is confidential pursuant to U.S.C. 552a and Wis. Stat. § 19.36(8), (10), and (13).

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

00170B00. INCIDENT CASE FILES - OTHER FELONIES CR+7 DEST Y

The Wisconsin State Capitol Police performs police functions to protect the safety and security of state property and employees, pursuant to its statutory responsibilities under sections Wis. Stat. §§ 16.84(2) & 16.843. The records in this series include, but are not limited to, officers' reports, photos, video and audio recordings related to an incident, and statements of victims and witnesses.

Records in this series involve incidents that would constitute felonies with a 6-year statute of limitations as set forth in Wis. Stat. § 939.74(1), but whose statutes of limitations may be extended by one year due to the involvement of DNA evidence pursuant to Wis. Stat. § 939.74(2d), regardless of whether the incident has been referred for prosecution or whether prosecution has commenced.

This series excludes incident case files of major felonies or other significant cases, covered in RDA 170, and incident case files of misdemeanors, covered in RDA 170C.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(2) (certain law enforcement records); 19.36(4) (computer programs); 19.36(5) (trade secrets), 19.36(8) (law enforcement informants); 19.36(10) (certain Personally Identifiable Information of employees); 19.36(13) (financial identifying data); 48.396 and 48.78 (Children's Code), 51.30 (mental health treatment records, also HIPAA); 118.125 (pupil records, also FERPA); 146.82 (patient health care records, also HIPAA); 804.01(2)(c) and 905.03 (attorney work product and attorney-client privileged information); 938.396 and 938.78 (Juvenile Justice Code); 950.04 (crime victim/witness rights); Wisconsin Const. Art. I, § 9m (Marsy's Law crime victims' constitutional rights); 968.26 (John Doe); 968.40 (grand jury); and 28 C.F.R. pt. 20, subpart C (federally-protected criminal justice information (CJI)). Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, personally identifiable information of victims, witnesses, or collaterally mentioned individuals; law enforcement sensitive information; or other information that would create security or safety risks if disclosed.

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: CR + 7 YEARS AND DESTROY CONFIDENTIAL

00170C00. INCIDENT CASE FILES - MISDEMEANORS AND NON-CRIMINAL EVENT RECO CR+3 DEST Y

The Wisconsin State Capitol Police performs police functions to protect the safety and security of state property and employees, pursuant to its statutory responsibilities under sections Wis. Stat. §§ 16.84(2) & 16.843. The records in this series include, but are not limited to, officers' reports, photos, video and audio recordings related to an incident or event, and statements of victims and witnesses.

Records in this series involve incidents that would constitute misdemeanors or other crimes with a 3-year statute of limitations as set forth in Wis. Stat. § 939.74(1), regardless of whether the incident has been referred for prosecution or whether prosecution has commenced.

Records in this series also include Capitol Police records involving non-criminal incidents (e.g., check person, parking violations, traffic violations including Operating While Intoxicated – First Offense), or non-criminal events that generate records (e.g., duress alarm reports, building lockouts).

This series excludes incident case files of major felonies or other significant cases, covered in RDA 170, incident case files of other felonies, covered in RDA 170B, and other dispatch logs that do not generate an event file or case incident file, covered in RDA 171.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(2) (certain law enforcement records); 19.36(4) (computer programs); 19.36(5) (trade secrets), 19.36(8) (law enforcement informants); 19.36(10) (certain Personally Identifiable Information of employees); 19.36(13) (financial identifying data); 48.396 and 48.78 (Children's Code), 51.30 (mental health treatment records, also HIPAA); 118.125 (pupil records, also FERPA); 146.82 (patient health care records, also HIPAA); 804.01(2)(c) and 905.03 (attorney work product and attorney-client privileged information); 938.396 and 938.78 (Juvenile Justice Code); 950.04 (crime victim/witness rights); Wisconsin Const. Art. I, § 9m (Marsy's Law crime victims' constitutional rights); 968.26 (John Doe); 968.40 (grand jury); and 28 C.F.R. pt. 20, subpart C (federally-protected criminal justice information (CJI)). Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, personally identifiable information of victims, witnesses, or collaterally mentioned individuals; law enforcement sensitive information; or other information that would create security or safety risks if disclosed.

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 (creation) + 3 years and destroy confidential

00171000. CAPITAL POLICE DISPATCH LOGS CR+7 DEST Y

Capitol Police performs police functions pursuant to its statutory responsibility under sections Wis. Stat. § 16.84 and 16.843.

Series records reside in the Computer Aided Dispatch System. Dispatchers and Officers use the system 24 hours a day to log calls for service that require incident numbers, generate case numbers, and log updates as they occur.

Minor cases may be closed with a notation as to the disposition of the case. For cases requiring longer term follow-up , investigations, or prosecution , paper records are created and filed with the incident case file covered by separate RDA- Incident Case Files.

Record series is confidential pursuant to U.S.C. 552a and Wis. Stat. § 19.36(10).

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

00203000. EVIDENCE SEIZURE DOCUMENTATION EVT+7 DEST Y

The Wisconsin State Capitol Police performs police functions to protect the safety and security of state property and employees, pursuant to its statutory responsibilities under sections Wis. Stat. §§ 16.84(2) & 16.843. Records may include, but are not limited to, description of evidence seized, status and location of evidence, video evidence, addresses of informants, logs with names of juveniles and adults, and whether any weapons or drugs were seized.

Records may be destroyed 7 years after date of seizure unless they become evidence in a criminal proceeding, in which case the records will be retained until the prosecutor or court notifies the Wisconsin State Capitol Police that the evidence is no longer needed. Evidence documentation that becomes part of a case file will be maintained under RDAs 170, 170B, or 170C.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(2) (certain law enforcement records); 19.36(4) (computer programs); 19.36(8) (law enforcement informants); 19.36(13) (financial identifying data); 48.396 and 48.78 (Children's Code), 51.30 (mental health treatment records, also HIPAA); 118.125 (pupil records, also FERPA); 146.82 (patient health care records, also HIPAA); 804.01(2)(c) and 905.03 (attorney work product and attorney-client privileged information); 938.396 and 938.78 (Juvenile Justice Code); 950.04 (crime victim/witness rights); Wisconsin Const. Art. I, § 9m (Marsy's Law crime victims' constitutional rights); 968.26 (John Doe); 968.40 (grand jury); and 28 C.F.R. pt. 20, subpart C (federally-protected criminal justice information (CJI)). Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, personally identifiable information of victims, witnesses, or collaterally mentioned individuals; law enforcement sensitive information; or other information that would create security or safety risks if disclosed.

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 seizure) + 7 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00204000.	CAPITOL POLICE FIELD TRAINING - FILES	EVT+7	DEST	Y

The Wisconsin State Capitol Police performs police functions to protect the safety and security of state property and employees, pursuant to its statutory responsibilities under sections Wis. Stat. §§ 16.84(2) & 16.843.

Under Wis. Stat. § 16.84(2) to hire law enforcement officers and pursuant to requirements established by the Law Enforcement Standards Board under Wis. Stat. § 165.85, the Wisconsin State Capitol Police maintains individual training records for candidates, officers during their probationary period, and primary officers.

The records in this series include, but are not limited to, medical information, personal history, legal matters, names and addresses of candidates and officers, subjects or topics of training, instructors or the training vendor, locations of training, performance records, and training scores.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(2) (certain law enforcement records); 19.36(4) (computer programs); 19.36(8) (law enforcement informants); 19.36(10)(a) (certain Personally Identifiable Information of employees); 19.36(10)(d) (staff management planning; also Wis. Stat. § 230.13 and Wis. Admin. Code § ER-MRS 6.08(2) (application materials)); 19.36(13) (financial identifying data); 48.396 and 48.78 (Children's Code), 51.30 (mental health treatment records, also HIPAA); 118.125 (pupil records, also FERPA); 146.82 (patient health care records, also HIPAA); 804.01(2)(c) and 905.03 (attorney work product and attorney-client privileged information); 938.396 and 938.78 (Juvenile Justice Code); 950.04 (crime victim/witness rights); Wisconsin Const. Art. I, § 9m (Marsy's Law crime victims' constitutional rights); 968.26 (John Doe); 968.40 (grand jury); and 28 C.F.R. pt. 20, subpart C (federally-protected criminal justice information (CJI)). Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, personally identifiable information of victims, witnesses, or collaterally mentioned individuals; law enforcement sensitive information; or other information that would create security or safety risks if disclosed.

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 (creation if the candidate did not pass probation, or separation from State Capitol Police) + 7 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00256000.	POLICE TELEPHONE LINE TAPE RECORDINGS	CR+0/4	DEST	Y

Capitol Police performs police functions pursuant to its statutory responsibility under sections Wis. Stat. § 16.84 and 16.843.

Series includes audio recordings of Madison and Milwaukee radio channels and phone lines in the Dispatch area of the Capitol Police Department.

Records may be destroyed 120 days after creation unless they become evidence in a criminal proceeding, in which case they must be retained under RDA-Incident Case Files.

Record series is confidential pursuant to U.S.C. 552a and Wis. Stat. § 19.36(8), (10), and (13).

RETENTION: EVENT (Creation) + 120 days and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00382000.	BUILDING ACCESS, DENIALS, AND ALARM LOGS	CR+3	DEST	Y

Capitol Police performs police functions to protect the safety and security of state property and employees, pursuant to its statutory responsibility under sections Wis. Stat.§ 16.84 and 16.843. Part of this responsibility includes monitoring state facilities access. This RDA includes, but is not limited to, state facilities access transactions, denial transactions, system administrative actions, and alarm log records.

Many state facilities are accessed by employees with personally issued access cards. This is often required only during periods when the building is not open for normal business. Operational security concerns may also dictate the full time use of card access systems. The division uses the CCure Software system to record all access and denial transactions, as well as system administrative actions.

The CCure system also records various alarms such as fire, water, or forced entry. The CCure records are maintained in a log kept on the dedicated server. Records are not deleted automatically but must be selected and deleted by a Division of Capitol Police Operator. If necessary, records of specific transactions can be extracted for use by Capitol Police investigators, other jurisdictions or state officials. Such records are retained under terms of RDA-Incident Case Files.

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

RDA #	RDA Title	Retention	Disposition	PII
00944000.	SQUAD VIDEO & AUDIO	CR+0/3	DEST	N

Capitol police performs police functions pursuant to its statutory responsibility under sections 16. 84 and 16. 843 of the Wisconsin statutes.

This RDA will give the ability to destroy the recordings when they are no longer considered evidence.

Series consists of audio or video recordings of contacts made conducted in the course of daily patrol, vehicle stops and/or contacts.

Not all cases have audio or video recorded when a traffic stop is made. A written report of the stop is prepared for the officers so they can further investigate the case (covered by a separate RDA)

Records may be destroyed 120 days after creation unless they become evidence in a proceeding, in which case they must be retained until the case is no longer under investigation and is no longer considered evidence.

Record series may be confidential pursuant to ss. 19. 36(2) Wis. Stats.

Records may be confidential if they are being used as evidence in a criminal proceeding.

RETENTION: EVENT (Creation) + 120 days and destroy confidential

00945000. PARKING CITATIONS EVT+3 DEST Y

Pursuant to its statutory responsibility under section Wis. Stat. § 16.843, the Wisconsin State Capitol Police enforces parking regulations of Capitol and State Office buildings. This RDA includes, but is not limited to, parking citations, parking citation payment records, and related correspondence and materials.

Delinquent and uncollectable accounts are maintained under the relevant RDA.

Record series is confidential pursuant to 5 U.S.C. § 552(a) and Wis. Stat. § 19.36(2).

RETENTION: EVENT (Close of case by receipt of Fine or Cancelling of citation) + 3 years and destroy confidential.

00949000. CAPITOL POLICE FIELD TRAINING - COURSE MATERIAL EVT+8 DEST Y

The Wisconsin State Capitol Police performs police functions to protect the safety and security of state property and employees, pursuant to its statutory responsibilities under sections Wis. Stat. §§ 16.84(2) & 16.843.

Records in this series include, but are not limited to, curriculum and lesson plans, presentations, handouts, course attendance, performance records, and related documentation.
ADMIN453 does not meet retention requirements, and ADMIN453 requires training related to licensure or certification must be retained under a program-specific RDA. These records were identified during an agency review.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(2) (certain law enforcement records); 19.36(4) (computer programs); 19.36(8) (law enforcement informants); 19.36(10)(a) (certain Personally Identifiable Information of employees); 19.36(10)(d) (staff management planning; also Wis. Stat. § 230.13 and Wis. Admin. Code § ER-MRS 6.08(2) (application materials)); 19.36(13) (financial identifying data); 48.396 and 48.78 (Children's Code), 51.30 (mental health treatment records, also HIPAA); 118.125 (pupil records, also FERPA); 146.82 (patient health care records, also HIPAA); 804.01(2)(c) and 905.03 (attorney work product and attorney-client privileged information); 938.396 and 938.78 (Juvenile Justice Code); 950.04 (crime victim/witness rights); Wisconsin Const. Art. I, § 9m (Marsy's Law crime victims' constitutional rights); 968.26 (John Doe); 968.40 (grand jury); and 28 C.F.R. pt. 20, subpart C (federally-protected criminal justice information (CJI)). Records may also contain information exempt from public disclosure under the Wis. Stat. § 19.35(1)(a) public records law balancing test, including, but not limited to, personally identifiable information of victims, witnesses, or collaterally mentioned individuals; law enforcement sensitive information; or other information that would create security or safety risks if disclosed.

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 (course materials are superseded or obsolete) + 8 YEARS AND DESTROY CONFIDENTIAL

00122000. REIMBURSEMENTS TO MUNICIPALITIES FOR SERVICES RENDERED CR+5 DEST N

Under Wis. Stat. § 70.119 (2015-16), the state makes payments to municipalities for services rendered to support the functions of state buildings. Such services may include water, sewer, electrical, police, and fire. The rate at which the state reimburses the municipality is predetermined annually. Records include, but are not limited to, calculations based on computer tapes furnished by the WI Dept. of Revenue, letters to municipalities and any other documentation to provide payment to each municipality for services rendered for state owned buildings.

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

RDA #	RDA Title	Retention	Disposition	PII

00123000. WISCONSIN RESIDENT POPULATION ESTIMATES CR+12 DEST Y

Under Wis. Stat. § 16.96, Demographic Services develops yearly population estimates for the state's local jurisdictions used in the allocation of state revenue sharing, calculates long-range population projections, and coordinates the state's participation in various census activities.

These records are on the development of the annual estimates for tax distribution purposes. The records consist of computer printouts of the base data used to derive the population estimates. Records also include letters to municipalities with estimates and challenges from communities against Population Estimates, and records consisting of challenges from court challenges, and related correspondence and materials.

RETENTION: EVENT (Creation) + 12 years and destroy confidential

00157000. CONSOLIDATION, COOPERATIVE, & BOUNDARY CHANGE AGREEMENTS EVT+10 SHSW Y

This series includes records pertaining to stipulated boundary agreements pursuant to Wis. Stat. § 66.0225 and municipal consolidations of towns with contiguous cities and villages pursuant to Wis. Stat. §§ 66.0229 and 66.0230. Additionally, towns may enter into an intergovernmental cooperative agreement or a comprehensive plan with an immediately adjacent city or village pursuant to Wis. Stat. §§ 66.0301 or 66.0307, respectively, that determines changes to all, or a portion of, the common boundary line between the municipalities. Department of Administration (DOA) approval is required for those plans under Wis. Stat. § 66.0307.

Records received or created by DOA include, but are not limited to:
- Adopted municipal consolidation ordinance documents, DOA “in the public interest” determination documents, associated circuit court findings and orders, and certification of referendum results;
- Intergovernmental cooperative agreement documents and voluntary filings in accordance with Wis. Stat. § 66.0301, cooperative plan documents and required filings in accordance with Wis. Stat. § 66.0307, and associated hearing testimony and exhibit documents;
- Associated land transfer attachment and detachment ordinance filing documents;
- Corporate boundary legal description and map filings related to the above ordinances; and
- Related correspondences and documentation.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(10) (certain Personally Identifiable Information of employees); 19.36(11) (certain Personally Identifiable Information of an individual holding a local public office); 19.36(13) (financial identifying information); 19.36(14) (identities of election officials or election registration officials); 19.62(5) (personally identifiable information); 905.03 (attorney-client privileged information); and 804.01(2)(c) (attorney work product). Records may also contain information exempt from public disclosure under Wis. Stat. § 19.35(1)(a), the public records law balancing test, including, but not limited to, information that would create security or safety risks if disclosed.

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 creation or receipt) + 10 years and transfer to State Archives (WHS)

00158000. ANNEXATION REVIEW, ANNEXATION & DETACHMENT ORDINANCE FILING D EVT+10 SHSW Y

This series includes statutory filing documents and other records pertaining to annexations of town territory into city and village jurisdictions pursuant to Wis. Stat. §§ 66.0217(2), 66.0217(3)(a)-(b), 66.0219, 66.0221, and 66.0223. For annexation petitions within counties with a population over 50,000, the person who has the notice published is required to initiate a request for annexation review process to be conducted by the Department of Administration (DOA). Additionally, the statutory filing documents pertaining to the detachment of city or village territory being then attached to a different city, town, or village jurisdiction pursuant to Wis. Stat. § 66.0227 must be filed with DOA.

Records include, but are not limited to:
- Petition for annexation documents; DOA review forms and associated correspondence with the affected municipal parties and counties; any other
information gathered prior to DOA issuing an advisory opinion findings letter;
- Required annexation ordinance filing documents, certified copy of annexation ordinance, clerk’s certificate, and plat map;
- Documents related to requested DOA contiguity reviews and findings, associated court decisions and orders;
- Required detachment ordinance filing documents, certified copy of detachment ordinance, clerk’s certificate, plat map, and certified copy of associated attachment ordinance; and
- Corporate boundary legal description and map filings related to the above ordinances.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(10) (certain Personally Identifiable Information of employees); 19.36(11) (certain Personally Identifiable Information of an individual holding a local public office); 19.36(13) (financial identifying information); 19.36(14) (identities of election officials or election registration officials); 19.62(5) (personally identifiable information); 905.03 (attorney-client privileged information); and 804.01(2)(c) (attorney work product). Records may also contain information exempt from public disclosure under Wis. Stat. § 19.35(1)(a), the public records law balancing test, including, but not limited to, information that would create security or safety risks if disclosed.

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 filing or notice received by DOA) + 10 years and transfer to State Archives (WHS)

00161000. MUNICIPAL INCORPORATIONS AND CERTIFICATES OF INCORPORATION P PERM Y

Towns may incorporate into cities or villages in accordance with Wis. Stats. §§ 66.0201, 66.0203, 66.0205, 66.0207, 66.0209, 66.0211, and 66.0215.

Municipal incorporation records submitted to, or created by, the Department of Administration include, but are not limited to:
- Initial incorporation petition documents including the petition for incorporation signed by both electors and freeholders of the territory to be incorporated, legal description boundaries, associated plat & scale map(s), and territory's population;
- Circuit court filing documents & notices, Incorporation Review Board documents & notices, annexation resolution documents, incorporation referendum documents, and certification of a majority of votes in an incorporation referendum cast in favor of incorporation;
- The Certificate of Incorporation documents issued by the Secretary of Administration;
- The log of certificates of incorporation issued by the Secretary of Administration; and
- Other related correspondences and documentation.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(10) (certain Personally Identifiable Information of employees); 19.36(11) (certain Personally Identifiable Information of an individual holding a local public office); 19.36(13) (financial identifying information); 19.36(14) (identities of election officials or election registration officials); 19.62(5) (personally identifiable information); 905.03 (attorney-client privileged information); and 804.01(2)(c) (attorney work product). Records may also contain information exempt from public disclosure under Wis. Stat. § 19.35(1)(a), the public records law balancing test, including, but not limited to, information that would create security or safety risks if disclosed.

Permanent retention is required for historical reference purposes and may be used if an incorporation is legally challenged.

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

RETENTION: Permanent

00275000. COUNTY PLANS FOR LAND RECORDS MODERNIZATION EVT+1 SHSW N

The Department of Administration under Wis. Stat.§ 59.72(3)(b) requires that county-wide plans for land records modernization be submitted to, and approved by, the Department of Administration within 2 years after the county land information office is established. The plan shall be submitted for approval to the Department of Administration under Wis. Stat.§ 16.967(3)(e). No later than January 1, 2014, and by January 1 every 3 years thereafter, the land information office shall update the plan and receive approval from the Department of Administration of the updated plan. A plan under Wis. Stat.§ 59.72(3)(b) shall comply with the standards developed by the Department of Administration under Wis. Stat.§ 16.967(3)(cm).

RETENTION: EVENT (Superseded) + 1 year and transfer to State Archives (WHS)

00346000. COUNTY SUPERVISORY DISTRICTS & MUNICIPAL CHARTER ORDINANCES EVT+10 SHSW Y

Under Wis. Stat. § 59.10, the final County Supervisory District Plan must be filed with the Department of Administration (DOA) following each decennialcensus. Subsequent supervisory district changes during the decade pursuant to municipal boundary line changes must also be filed with DOA. Under Wis. Stat. § 66.0101, charter ordinances enacted by municipal governments must also be filed with DOA.
Records include, but are not limited to:
- Adopted county resolution documents, including associated maps and tables, related certification and summary documents, and other related correspondences; and
- Adopted municipal charter ordinance documents, clerk's certification documents, and other related correspondences.

Confidentiality provisions that may apply to specific records include, among others, Wis. Stat. §§ 19.36(10) (certain Personally Identifiable Information of employees); 19.36(11) (certain Personally Identifiable Information of an individual holding a local public office); 19.36(14) (identities of election officials or election registration officials); 19.62(5) (personally identifiable information); 905.03 (attorney-client privileged information); and 804.01(2)(c) (attorney work product). Records may also contain information exempt from public disclosure under Wis. Stat. § 19.35(1)(a), the public records law balancing test, including, but not limited to, information that would create security or safety risks if disclosed.

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 filing) + 10 years and transfer to State Archives (WHS)

00371000. PLAT INDEX FIS+1 DEST Y

Plat record cards containing plat data including name and legal description of plat, permanent file number, surveyor, certification date

and filing date. Used as index for retrieving microfilm for plat, determining abutting plat information and insuring that plat names are not duplicated within county or municipality.

RETENTION: EVENT (Fiscal) + 1 year and destroy

00372000. SUBDIVISION PLAT AND CERTIFIED SURVEY MAP FILES CR+5 DEST Y

Wis. Stat. ch. 236 (2015-16), requires that when an owner creates more than 4 parcels of land, 1.5 acres or less in area, within a 5 year period those parcels must be created on a subdivision plat. The Department is the clearinghouse for the review of the plats. The Department reviews the plats and certifies that it complies with statutorily mandated minimum layout standards for lots, roads and public access dedications to navigable lakes and streams, as well as is in compliance with surveying, monumenting and technical mapping requirements. Surveyor's and local units of governments send in certified survey maps to review and determine if the maps are in compliance with statutory standards.

The files contain drawings, plats and maps, correspondence about the plat/map with the surveyor, local units of government, property owners and other state agencies along with staffs technical review notes and certification letters.

RETENTION: EVENT (Creation) + 5 years and destroy

00373000. ASSESSOR'S PLAT FILES CR+5 DEST Y

Wis. Stat. § 70.27 (2015-16), provides, in part, that whenever the boundaries of parcels of land cannot be sufficiently determined for assessment or title purposes, the local unit of government can order that this area be surveyed, monumented and platted to clearly establish the boundaries of the parcels. The Department reviews the assessors plat and certifies that it complies with statutorily mandated surveying, monumenting and technical mapping requirements.

The files contain drawings, plats, correspondence about the plat with the surveyor, local units of government, property owners and other state agencies along with staffs technical review notes and certification letters.

RETENTION: EVENT (Creation) + 5 years and destroy

00374000. PLAT FILE MICROFILM P PERM Y

This Record Series contains microfilm records of plat files dating back to 1935. The microfilm is a permanent record of plat reviews, certifications and correspondence which are used to complete the current review of subdivision plats as required by Wis. Stat. ch. 236 (2015-16). These records are used when reviewing adjacent plats or replats of the original development, to waive restrictions and easements on recorded plats and to provide copies of platting documents to other state agencies, local units of government and the public when requested. The microfilming process has been replaced by scanning the records and storing them in an electronic/digital format, however these old records are used daily.

RETENTION: Permanent

00375000. PLAT AND MAP COMPUTATIONS CR+5 DEST Y

Computations of plat and certified survey map boundaries using an Excel spreadsheet to enter and obtain data output. Computations are used in technical review of plats and certified survey maps to verify compliance with minimum lot and street layout requirements.

RETENTION: EVENT (Creation) + 5 years and destroy

00376000. PLAT PROJECTS RECORDS P PERM Y

This Record Series contains electronic project records of plat files dating back to 1988. The electronic project records are a permanent record of plat reviews, certifications and correspondence which are used to complete the current review of subdivision plats as required by Wis. Stat. ch. 236 (2015-16). These records are used when reviewing adjacent plats or replats of the original development, to waive restrictions and easements on recorded plats and to provide copies of platting documents to other state agencies, local units of government and the public when requested.

RETENTION: Permanent