

505-ADMINISTRATION

Dept #: /115/ Department Name: LEGAL SERVICES

RDA # RDA Title Retention Disposition PII

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

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. **OFFICE OF LEGAL COUNSEL-OFFICE MANAGEMENT FILES** **EVT+6**

Office of Legal Counsel Management Files include, but are not limited to, reports of cases, requests for Attorney General Opinions, cases referred to Justice, political activities, court actions and decisions affecting DOA programs, legal assistance provided to DOA divisions, attached boards and councils regarding contracts, appeals, grants, memorandums of understanding, discipline and various divisions/program-related subjects.

*Records in this record series contain attorney-client privileged information, attorney work product, and other confidential information. In addition, some personally identifiable information in the records, such as social security numbers and financial account numbers may be confidential. See U.S.C. § 19.36(10)(a) and (13).

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

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

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**

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**

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.

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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

Dept #: /213/ Department Name: CAPITAL FINANCE

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00024000. BOND LEGAL DOCUMENTS EVT+4

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

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00117000. MUNICIPAL FINANCIAL STATEMENTS AND FEDERAL SINGLE AUDITS EVT+4

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

00118000. ENVIRONMENTAL IMPROVEMENT FUND (EIF) MANAGEMENT INFORMATION EVT+5

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

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund

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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

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

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

Dept #: /225/ Department Name: FINANCIAL REPORTING GAAP - STATE CONTROLLER'S OFFICE

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

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

Dept #: /311/ Department Name: GAMING COMMISSION

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00041000. APPLICATION FOR RACETRACK LICENSE EVT+30

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; precicensing 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**

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(10)(a) and (13).

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

00055000. **NEGOTIATION MATERIALS** **P**

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**

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**

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

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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(10)(a) and (13).

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

00386000. **GAMING-RELATED CONTRACTORS INFORMATION** **EVT+20**

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 III 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(10)(a) and (13).

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

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

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(10)(a) and (13).

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

00400000. **SECURITY INVESTIGATION FILES** **EVT+10**

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**

Pursuant to Chapter 563 of the Wisconsin Statutes, Gaming is required to license organizations to conduct raffles. Reports and

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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

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| <u>00404000.</u> | <u>DATA COLLECTION SYSTEM RECORDS (00404000.)</u> | <u>EVT+10</u> |
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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

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| <u>00033000.</u> | <u>TRANSFER RECORDS</u> | <u>EVT+5</u> |
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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

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| <u>00034000.</u> | <u>CUSTOMER RECORDS</u> | <u>EVT+5</u> |
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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).

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

00035000. **DIRECTOR'S FILE** **EVT+5**

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**

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

Dept #: /334/ Department Name: RECORDS MANAGEMENT-ENTERPRISE OPERATIONS

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00074000. **INVENTORY MAINTENANCE REQUESTS** **EVT+25**

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.

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

00943000. **RECORDS MANAGEMENT REVIEWS** **EVT+5**

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. Stat. § 16.61 and Wis. Stat § 16.62 and Adm. Chapter 12 Electronic Records Management.

Records in this series include; reviewer notes and comments, supporting documentation, the report to the agency, responses to the report and corrective action taken.

RETENTION: EVENT (Date of final report) + 5 years and transfer to State Archives (WHS)

Dept #: /335/ Department Name: WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM

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00930000. **WOMEN-OWNED BUSINESS ENTERPRISE CERTIFICATION** **CR+5**

The Women-Owned Business Enterprise 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 51% of the ownership, control and

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management of a business. The program collaborates with other women business organizations to strengthen the women-owned businesses who attained the WBE certification.

In accordance with Wis. Stats. 560.035(2) to maintain a database that provides demographic and statistical information on the WBE applicants and in assuring that applicants meet the code requirements contained in Adm. 83 eligibility, the program collects the following: Applicant's name, address, federal identification number or social security number, addresses and phone numbers; Copies of birth certificates, passports or driver's licenses; Taxes, W-2's, P&L statements and Balance Sheets, Bank signature cards, business contracts; Business corporate documents such as articles of incorporation, annual filings with DFI, By-Laws, Operating Agreements; Copies of business leases, distributor agreements, invoices; and Copies of program correspondence related to the cycle of WBE eligibility, including on-site visit reports.

Retention period is Creation + 5 years. Creation is the date on the official letter of certification from the program.

Scanned files to be verified and destroyed.

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

00931000. **WOMEN-OWNED BUSINESS ENTERPRISE DE-CERTIFICATION** **EVT+5**

Under Wis. Admin Code ch. Adm 83, the Women-Owned Business Enterprise 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. Under Wis. Admin Code §§ Adm 83.60 and 83.65, businesses are occasionally de-certified.

This RDA includes the letters that are sent to the business advising the business owner of the reasons for the de-certification and de-certification investigation materials and correspondence.

RETENTION: EVENT (Date of letter of de-certification) + 5 years and destroy confidential

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

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).

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

Dept #: 1337/ Department Name: DISABLED VETERAN-OWNED BUSINESS

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00940000. **DISABLED VETERAN-OWNED BUSINESS CERTIFICATION** **CR+5**

To increase the opportunity for disabled veteran firms to sell their products and services to the State of Wisconsin, the Disabled Veteran-Owned Business Enterprise Program was enacted in 2010. The program promotes the availability of procurement opportunities for and collaborates with disabled veterans who own their own business. Qualified businesses have to be certified by the program.

Records in this series include the certification application (ADM 82.20), Determination of Disabled Veteran Status (ADM 82.22), Documentation of ownership (ADM 82.25), Documentation of Control (ADM 82.29), Documentation of active Management (ADM 82.33), Recertification Application (ADM 82.55). Other information will include, Owner(s) Name, Business financial statement, Business tax statement, Business stock distribution, Business licenses/permits, List of major assets and Evidence of revenue (contracts, receipts, invoices).

Retention period is Creation + 5 years. Creation is the date on the official letter of certification from the program.

Scanned files to be verified and destroyed.

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

00941000. **DISABLED VETERAN-OWNED BUSINESS DE-CERTIFICATION** **EVT+5**

Under Wis. Admin Code ch. Adm 82, the Disabled Veteran-Owned Business Program promotes the availability of procurement opportunities, for and collaborates with, disabled veteran business organizations. Under Wis. Admin Code §§ Adm 82.60 and 82.65, businesses are occasionally de-certified.

Dept #: /337/ Department Name: DISABLED VETERAN-OWNED BUSINESS

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

This RDA includes the letters that are sent to the business advising the business owner of the reasons for the de-certification and de-certification investigation materials and correspondence.

Under Wis. Stat. § 16.283, some of the personally identifiable information (PII) may be confidential.

RETENTION: EVENT (Date of letter of de-certification) + 5 years and destroy confidential

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

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 CR+5

Records are created upon receipt of application (DD-400) for review and approval. Records contained in this series include the initial certification application, on-site visit reports, reverification of applications, award/denial correspondence pursuant to s. 560.036, Wis. Stat. Records are retained for 3 years for review purposes following decertification.

Records in this series may be subdivided in the following files: Certification Application s. DOD 5.14(1); Determination of minority status s. DOD 5.04(1); Documentation of ownership s. DOD 5.06(1); Documentation of control s. DOD 5.08(1-3); Documentation of active management s. DOD 5.10(1); Recertification Application s. DOD 5.13(3).

Information in this series may include: Owner(s) Name; Ethnicity of owner(s); Business financial statement; Business tax statements; Business stock distribution; Business licenses/permits; List of major assets; Evidence of revenue (contracts, receipts, invoices).

Retention period is Creation + 5 years. Creation is the date on the official letter of certification from the program. Scanned files to be verified and destroyed.

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

Dept #: /390/ Department Name: WIS ADVANCED TELECOMM FOUNDATION-ENTERPRISE TECHNOLOG

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

00249000. TEACH PROGRAM RECORDS EVT+10

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.

| RDA # | RDA Title | Retention | Disposition | PII |
|-------|---|-----------|-------------|-----|
| | 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 10 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 | | | |

| RDA # | RDA Title | Retention | Disposition | PII |
|------------------|--|-----------|-------------|-----|
| <u>00168000.</u> | <u>ASBESTOS ABATEMENT FILES</u> | | <u>P</u> | |
| | 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 | | | |
| <u>00311000.</u> | <u>CENTRAL PLANT FUEL REQUESTS</u> | | <u>CR+1</u> | |
| | 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 | | | |
| <u>00390000.</u> | <u>WISCONSIN ASBESTOS AND LEAD MANAGEMENT (WALMS)</u> | | <u>P</u> | |
| | 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 | | | |
| <u>00391000.</u> | <u>ENVIRONMENTAL INVESTIGATION AND REMEDIATION FILES</u> | | <u>P</u> | |
| | 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 | | | |

Dept #: 400/ Department Name: FACILITIES DEVELOPMENT

RDA # RDA Title Retention Disposition PII

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

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

00406000. BUILDING CONTRACT SUPPORTING DOCUMENTS EVT+10

Wis. Stat. § 16.855 authorizes Division of Facilities Development to design and construct all state facilities.

Supporting documents for contracts are a variety of paper documents and forms that provide information relative to design and construction contracts. These forms are scanned and stored as electronic images on the State Facilities Information database. After the electronic image is verified, the paper copies are destroyed. This RDA covers the retention and destruction of electronic images.

The electronic images are maintained in the database for the life of the project plus 10 years.

Examples of supporting documents are: Proof of Insurance, Affirmative Action Plan or Exemption Forms; Wage Rate Affidavits; and Settlement Certificates.

RETENTION: EVENT (Contract closed) + 10 years and destroy

Dept #: 427/ Department Name: LIRC

RDA # RDA Title Retention Disposition PII

00409000. UNEMPLOYMENT INSURANCE COURT CASE FILES EVT+7

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.

Dept #: /427/ Department Name: LIRC

| RDA # | RDA Title | Retention | Disposition | PII |
|-------|-----------|-----------|-------------|-----|
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RETENTION: EVENT (Date of last court decision) + 7 years and transfer to State Archives (WHS)

Dept #: /475/ Department Name: DISTRICT ATTORNEY ADMINISTRATION

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

00149000. STATE PROSECUTORS CORRESPONDENCE CR+2

Files may contain routine correspondence and other communications consisting of responses to verbal 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 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

These files contain State Prosecutor's Office Memoranda (Numbered Series) covering both general information and specific Prosecutor's Office policies for District Attorneys 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 #: /700/ Department Name: ENERGY

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

00162000. ENERGY CONTRACT FILES EVT+7

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

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)

Dept #: 700/ Department Name: ENERGY

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

Dept #: 711/ Department Name: HOUSING AND COMMUNITY RESOURCES

| RDA # | RDA Title | Retention | Disposition | PII |
|-------|-----------|-----------|-------------|-----|
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00104000. **CONTINUUM OF CARE PROGRAM** **EVT+5**

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**

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**

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**

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

| RDA # | RDA Title | Retention | Disposition | PII |
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|-------------------------|--|---------------------|--|--|
| <u>00222000.</u> | <u>TRANSITIONAL HOUSING PROGRAM (THP)</u> | <u>EVT+5</u> | | |
|-------------------------|--|---------------------|--|--|

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

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| <u>00229000.</u> | <u>COMPREHENSIVE PLAN AND ASSOCIATED REPORTING</u> | <u>EVT+5</u> | | |
|-------------------------|---|---------------------|--|--|

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)

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|-------------------------|---|---------------------|--|--|
| <u>00353000.</u> | <u>HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) - FINANCIAL REPORT</u> | <u>EVT+5</u> | | |
|-------------------------|---|---------------------|--|--|

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

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|-------------------------|--|---------------------|--|--|
| <u>00354000.</u> | <u>FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) HOMEBUY</u> | <u>EVT+5</u> | | |
|-------------------------|--|---------------------|--|--|

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

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|-------------------------|--|----------------------|--|--|
| <u>00355000.</u> | <u>FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) HOMEBUY</u> | <u>EVT+10</u> | | |
|-------------------------|--|----------------------|--|--|

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

Dept #: 711/ Department Name: HOUSING AND COMMUNITY RESOURCES

RDA # RDA Title Retention Disposition PII

00405000. **HOME TENANT BASED RENTAL ASSISTANCE** **EVT+5**

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 Termination Date of Rental Assistance

Dept #: 800/ Department Name: FACILITIES MANAGEMENT

RDA # RDA Title Retention Disposition PII

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

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 CUSTODIAL CREWS** **EVT+0/6**

The Division of Facilities Management (DFM) contracts for custodial services in various facilities. With minimal supervision, the custodial crews have access to many state offices, some of which demand heightened security measures. The custodial crews are employees of the contractor so DFM requires the contractor to provide a background check for each employee they desire to place in our building. The employee must be approved by DFM before they can work in one of our buildings.

Background checks are usually sent to DFM electronically but occasionally but we receive a paper copy. Either way DFM files the background check appropriately, confidentially destroying the record six months after termination of employment.

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

RETENTION: EVENT (Termination of employment) + 6 months and destroy confidential

00170000. **INCIDENT CASE FILES** **CR+20**

Wisconsin Stat. ch. 19.35 covers the area of confidential material obtained while officers are dealing with the public.

In fulfilling its statutory responsibility under Wis. Stat. ch. 16.84 & 16.843 to protect the safety and security of state property and employees, the Wisconsin State Capitol Police Bureau performs police functions and documents them in incident case files. The records in this series provide essential information related to these regulatory functions, including officers' reports, photos, statements of witness, etc.

If appropriate, these case files provide documents for prosecution of individuals who violate state laws.

RETENTION: EVENT (Creation) + 20 years and destroy confidential

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

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

00171000. **CAPITAL POLICE DISPATCH LOGS** **CR+7**

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

00202000. **BLOOD BORN PATHOGENS** **EVT+30**

In fulfilling OSHA requirements (29 CFR PART 1910.1030) records must be kept on all employees given the vaccine for "occupational exposure to blood borne pathogens".

These records must contain employee name and date of vaccine. All records must be held for 30 years after termination of employee.

Record series is confidential pursuant to 29 CFR 1910.1030

RETENTION: EVENT (Termination) + 30 years and destroy confidential

00203000. **EVIDENCE SEIZURE YEARLY REPORTS** **EVT+7**

Wisconsin Stat. Ch. 19.35 covers the area of confidential material obtained while officers are dealing with the public.

In fulfilling statutory responsibility under Wis. Stat. ch. 16.84 and 16.843 to protect the safety and security of state property and employees, the Wisconsin State Capitol Police Department performs police functions and documents the collection of seized evidence. The records in this series provide essential information related to these regulatory functions, including specific evidence seized and status and location of such evidence.

Items seized may include but are not limited to videos, addresses of many informants, logs with names of juveniles as well as adults, if any weapons or drugs were seized location they are stored. This information is needed for officers to go to court for trials and provide such evidence. The officer must swear in court that this is indeed the evidence that was obtained during the investigation.

Records may be destroyed 7 years after event/date of seizure unless they become evidence in a criminal proceeding, in which case they must be retained until the prosecutor or court no longer considers them evidence.

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

00204000. **CAPITOL POLICE FIELD TRAINING OFFICER REQUIREMENTS** **EVT+7**

Wisconsin Stat. Ch. 19.35 covers the area of confidential material obtained by Capitol Police. Capitol Police track the progress of new officers through their training and probationary period at Capitol Police to determine if they have met all the requirements to pass

probation. This manual contains personal information. This record is in a book "manual" form. This information is required due to hiring of officers pursuant to Wis. Stat. ch. 16.84(2).

In fulfilling statutory responsibility under Wis. Stat. ch. 16.84 to hire Capitol Police Officers, the Wisconsin State Capitol Police Department maintains detailed information on the candidate during their training. The records in this series provide essential and confidential information related to the candidate/officer.

The Capitol Police follows Justice Department guidelines that are used for all police agencies in the state of Wisconsin. These guidelines contain information of officers and others. This information may have medical information, personal history, legal matters as well as names and addresses of associates including juveniles.

*Records may be destroyed 7 years after creation if the candidate did not pass probation, or 7 years after separation from the State Capitol Police or they become evidence in a criminal proceeding, in which case they must be retained until the prosecutor or court no longer considers them

RETENTION: EVENT (Creation or separation; see description) + 7 years and destroy confidential

00256000. POLICE TELEPHONE LINE TAPE RECORDINGS CR+0/4

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

00382000. BUILDING ACCESS, DENIALS, AND ALARM LOGS CR+10

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

00944000. SQUAD VIDEO & AUDIO CR+0/3

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

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

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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.

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00122000. REIMBURSEMENTS TO MUNICIPALITIES FOR SERVICES RENDERED CR+5

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

00123000. WISCONSIN RESIDENT POPULATION ESTIMATES CR+12

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. MUNICIPAL INCORPORATION AND CONSOLIDATION FILES CR+10

Official records pertaining to proposed incorporations of town areas into cities and villages pursuant to Wis. Stat. § 66.0201 - § 66.0209 (2015-16), and municipal consolidations of towns with cities and villages pursuant to Wis. Stat. § 66.0229 (2015-16). Information includes court orders, incorporation petitions, hearing testimony and exhibits, and determinations prepared by the Department, correspondence, and appellate records.

RETENTION: EVENT (Creation) + 10 years and transfer to State Archives (WHS)

00158000. ANNEXATION FILES CR+10

Official records pertaining to proposed annexations of town territory to cities and villages reviewed by the Department pursuant to Wis. Stat. § 66.0217 (2015-16). Information includes the petition, correspondence from and between the Department and the affected parties, including the annexing city or village and the affected town, and any information gathered prior to issuing an advisory opinion.

RETENTION: EVENT (Creation) + 10 years and transfer to State Archives (WHS)

00161000. MUNICIPAL BOUNDARIES AND CERTIFICATES OF INCORPORATION P

Pursuant to Wis. Stat. § 66.0211(5), "CERTIFICATION OF INCORPORATION, if a majority of the votes in an incorporation referendum are cast in favor of a village or city. The clerk of the circuit court shall certify the fact to the Secretary of Administration and supply the Secretary of Administration with a copy of a description of the legal boundaries of the village or city and the associated population and a copy of a plat of the village or city. Within 10 days of receipt of the description and plat, the Secretary of Administration shall forward 2 copies to the Department of Transportation and one copy each to the Department of Administration and the Department of Revenue. The Secretary of Administration shall issue a Certificate of Incorporation and record the certificate pursuant to Wis. Stat. § 66.0215(5), CERTIFICATE OF INCORPORATION. If a majority of the votes are cast in favor of a city the clerk shall certify the fact to the Secretary of Administration, together with the result of the census, if any, and 4 copies of a description of the legal boundaries of the town and 4 copies of a plat of the town. The Secretary of Administration shall then issue a Certificate of Incorporation and record the certificate in a book kept for that purpose. Two copies of the description and plat shall be forwarded by the Secretary of Administration to the Department of Transportation and one copy to the Department of Revenue. Other related statues under this program are: Wis. Stats. §§ 66.0217(9)(a), 66.0217(11), 66.0221(1), and 66.0223(1).

Records will be retained on-site for two years after entry in an electronic system and quality controlled. The electronic version will then

become the official record. Any publications or other compiled documents resulting from this will be transferred to the Wisconsin State Government Publications Section of the Wisconsin Historical Society.

RETENTION: Permanent

00275000. **COUNTY PLANS FOR LAND RECORDS MODERNIZATION** **EVT+1**

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. **COOPERATIVE BOUNDARY PLAN AND AGREEMENT FILES** **CR+10**

Correspondence, hearing records, and draft and final submissions and Departmental approval documents relating to Wis. Stat. § 66.0301 and § 66.0307, (2015-16). These agreements may adjust municipal boundaries by transferring private and public property according to criteria developed by the affected units of government, and may last indefinitely upon approval by the Department and may also include provisions for municipal revenue sharing.

RETENTION: EVENT (Creation) + 10 years and transfer to State Archives (WHS)

00371000. **PLAT INDEX** **FIS+1**

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**

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**

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**

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**

Computations of plat and certified survey map boundaries using an Excel spreadsheet to enter and obtain data output. Computations

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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

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