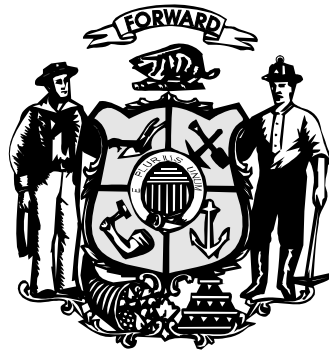


General Records Schedule

Risk Management and Related Records

Approved by the Public Records Board:

November 20, 2023



Expiration: November 20, 2033

For use by all units of Wisconsin Government at the State, County, and Municipal level

I. Scope

This schedule governs the records retention obligations of state agencies pursuant to [Wis. Stat. § 16.61](#), and applies to “public records” as defined in [Wis. Stat. § 16.61\(2\)\(b\)](#). These “public records” are referred to as “records” in this schedule.

This General Records Schedule (GRS) covers records which most state agencies, including the University of Wisconsin System Administration, the University of Wisconsin Institutions, all Wisconsin counties, municipalities and other units of local government create and use to administer risk management related records Pursuant to the GRS Policy, the implementation of said schedules by Wisconsin state agencies is mandatory and immediate. Implementation of a GRS by the UW System Administration, all UW campuses, all Wisconsin counties, municipalities or other local units of government is optional but recommended. Adopting the schedule does not require local units to begin creating any record series that they currently do not produce.

Wis. Stats. § 16.865 mandates responsibility for statewide risk management coordination. Pursuant to Wis. Stats. §16.865(5), the Department of Administration (DOA) Bureau of State Risk Management (BSRM) is responsible to arrange appropriate insurance contracts for the transfer of risk of loss on the part of the state or its employees to the extent such loss cannot reasonably be assumed by individual agencies or self-funded programs. This includes providing insurance coverage for state agencies. Agencies that receive authorization from the DOA’s BSRM may secure coverage for specific business purposes on their own. Annually, the Bureau of State Risk Management under authority of Wis. Stat. §§ 16.865, and 20.865(1)(f), develops fiscal year premium documents which support the State Risk Management Program or similar process within a government unit.

This general schedule may *not* include records which are unique to the mission of a single government unit. Records that are unique to the mission of a specific government unit require a separate Records Disposition Authorization (RDA). The government unit is responsible for creating a RDA(s) that must be submitted to, and approved by, the [Public Records Board \(PRB\)](#).

This schedule goes into effect upon final approval by the Public Records Board.

II. Introduction to General Records Schedules

See the [Introduction to General Records Schedules](#) for additional information about how to use this schedule. In particular, please review the restrictions on conditions that might preclude the authorized destruction of documents in the normal course of business including open records requests, ongoing legal holds, or audits currently underway or known to be planned. Also included in the Introduction to GRSs you will find further information on: Who May Use GRSs, Records Responsibilities, Records Format, Retaining Records, Confidential and Personally Identifiable Information, and Understanding the GRS Categories. You should review this document before implementing a GRS.

Adopting a General Records Schedule - Submit the original and two copies of the [Notification of General Schedules Adoption Form \(PRB-002\)](#) to:

State Archivist
Wisconsin Historical Society
816 State St.
Madison, WI 53706

The Wisconsin Public Records Board (PRB) will acknowledge your Notification of Adoption by returning a signed copy of the adoption to the submitting entity.

III. Records Format

Records covered in this schedule may be in paper, electronic, or other formats. Electronic format examples include those created or transmitted via e-mail, data contained in database systems, and tapes/cartridges. To safeguard the information contained in records maintained *exclusively* in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in [Wis. Admin. Code ch. Admin 12](#).

IV. Personally Identifiable Information

Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain Personally Identifiable Information (PII). [Wisconsin Stat. § 19.62\(5\)](#) defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Despite this broad definition, [Wis. Stat. § 16.61\(3\)\(u\)\(2\)](#), requires that record series within a schedule containing the following types of PII need not be identified as such: a) the results of certain computer matching programs; b) mailing lists; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; and e) record series that contains PII incidental to the primary purpose for which the records series was created, and f) those relating to state agency procurement or budgeting. If in doubt as to whether a specific record series contains PII, check with your agency legal counsel.

V. Confidentiality of Records

Most records are not confidential and are open to public disclosure, however, there are exceptions. This GRS will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

VI. Wisconsin Historical Society Notification

Wis. Stat. § 19.21(4) requires that all county and municipal public records must be offered for transfer to the Wisconsin Historical Society (WHS) 60 days prior to their destruction. If the disposition of a record series is “destroy” or “destroy confidential”, this indicates the WHS has waived notification and the records can be destroyed. If the disposition of a record series is “transfer to WHS”, this indicates notification to the WHS is required prior to destruction. Information on transferring records and proper handling of obsolete records can be found on the [Society’s webpage](#).

VII. Informational Tables

Superseded Record Series

“Superseded” means that a new record series or RDA number has been used to cover records that were previously identified differently. The last column in the following GRS table titled “Previous RDA Number (if applicable)” provides a cross walk between new and any superseded RDA numbers. When revising a GRS, an attempt is made to retain the previous RDA number, providing the underlying records remain the same.

Related Records

The “Related Records Series” section provides information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records. See the “Related Records Series” section included in this document.

Closed Record Series

When revising a GRS, it is common for some previously included record series to be closed. The “Closed Series” section lists series containing records that are no longer created, nor are they expected to be in the future. See the “Closed Series” section included in this document.

Revision History

See the “Revision History” section for a listing of changes to this GRS.

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
GENERAL RISK MANAGEMENT RELATED RECORDS								
RISK0002	Proposals for Insurance Coverage	Records may include proposals, non-selected bids, correspondence, and supporting documentation for insurance coverage. This includes, but is not limited to, property, liability, and Worker's Compensation insurance coverage. Successful proposals for insurance coverage would then produce insurance policy contracts, which would be managed under RDAs RISK004, RISK0025, and RISK0035.	No	No	EVT+7 years and destroy.	Event is date proposal is accepted or denied.		
RISK0004	Insurance Policies – Except Property & Liability	Records include, but are not limited to, the original policy, endorsements to the policy, list of carriers, coverage limits and premiums. This RDA does not include Property or Liability Insurance policies which are managed under RDAs RISK0025 and RISK0035 respectively.	No	Yes Wis. Stat. § 19.35(1)(a)	EVT+30 years and destroy.	Event is date policy expires.		
RISK0017	Insurance Premium Calculation and Allocations	This process reviews both the exposure and the experience of government units and incorporates this information into the development of premiums. The premiums generated by pay liability, worker's compensation and property claims and maintain the administrative functions of the program. This record series may include documents comprised of building values and content inventories. It also includes reports generated to support related experience over time, and documentation explaining the purpose and process of the premium allocation.	May include PII	Yes Wis. Stat. § 19.35(1)(a)	EVT+20 years and destroy confidential.	Event is date final allocation released.		

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WORKER'S COMPENSATION RELATED RECORDS								
RISK0010	Worker's Compensation Claims Case Files	<p>Worker's compensation claims files by government unit employees. Records may include, but are not limited to, accident reports, medical reports, employee exposure records, certifications, payment information, medical invoices, investigation materials, subrogation files, litigation records, independent medical evaluations, workers compensation claims fact sheet, medical information authorization, labor market availability restriction statement, vocational rehabilitation information, and related correspondence.</p> <p>These claims can be categorized as:</p> <p>Medical Claims (No Lost Time): A claim where an injured employee obtains medical treatment but does not lose more than three (3) days from work as a result of the injury.</p> <p>Lost Time Claims: A claim where an injured employee requires four (4) or more days off from work. Typically, claims include the same records as in medical claims files, as well as lost time documentation and disability payment material.</p> <p>Hazardous Duties Employment Claims: A claim presented by certain occupational classes and of hazardous nature as defined in §230.36. Wis. Stats. Hazardous duties employment claims include the same records as those in medical claims, as well as those stated in §230.36, Wis. Stats., (hazardous employment) documentation (e.g. hazardous duties related positions).</p>	Yes	Yes Wis. Stat. §§ 51.30, 102.23, and 146.82	EVT+30 years and destroy confidential.	Event is date claim is closed.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
PROPERTY PROGRAM RELATED RECORDS								
RISK0025	Property Insurance Policies (Primary & Excess)	Records include, but are not limited to, the original policy, endorsements to the policy, list of carriers, coverage limits and premiums.	No	Yes Wis. Stat. § 19.35(1)(a)	EVT+30 years and destroy confidential.	Event is date policy expires.		
RISK0026	Property Claim Files	Claim files may include, but are not limited to, accident/property loss reports, investigative reports, evidential documents such as photographs, payment vouchers, related correspondence and supporting documentation.	Yes	Yes Wis. Stat. § 19.35(1)(a)	EVT+5 years and destroy confidential.	Event is date claim is closed.		
RISK0027	Precedent-Setting Property Claims	<p>This records series pertains to property claims which have precedent-setting impact for government units.</p> <p>Records may include, but are not limited to, completed property investigations and supporting documentation.</p> <p>Precedent setting claims typically include those that are catastrophic in nature or breach one million dollars. Additionally, large losses that have multiple locations, or claims that may have large subrogation actions would also be included.</p> <p>Risk management supervisor, or equivalent, will determine if the claim may have possible historical significance.</p>	Yes	Yes Wis. Stat. § 19.35(1)(a)	EVT+25 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date claim is closed.		
RISK0028	Property Incident and Denial Reports	Incident and denial records may include, but are not limited to, accident reports, damage reports, repair orders, estimates, adjuster claim reports and other investigative materials.	Yes	No	EVT+6 years and destroy confidential.	Event is date of incident.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
LIABILITY PROGRAM RELATED RECORDS								
RISK0035	Liability Insurance Policies (General, and Excess)	Records include, but are not limited to, the original policy, endorsements to the policy, list of carriers, coverage limits and premiums.	No	No	EVT+75 years and destroy. Justification: Long-term potential for claims to be made.	Event is date policy expires.		
RISK0036	Liability Claim Files	<p>Claim files may include, but are not limited to, accident reports, damage reports, repair orders, estimates, adjuster claim reports and release of all claims, related correspondence and supporting documentation. Payment letters and photocopies of checks may also be included.</p> <p>Claim files may include normal liability claims and claims involving a minor or a structured settlement. In cases where a minor is involved, records must be retained for 11 years after the minor reaches age 18. For structured settlements, records must be kept for 11 years after the structure is paid off.</p>	Yes	Yes Wis. Stat. §§ 51.30 and 146.82	EVT+11 years and destroy confidential.	<p>Event is date claim is closed (For Normal Liability Claims)</p> <p>OR</p> <p>date minor turns 18 (Claims Involving a Minor)</p> <p>OR</p> <p>date structured settlement is paid off (Structured Settlement Claims)</p>		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0037	Precedent-Setting Liability Claims	<p>This records series pertains to liability claims which have precedent-setting impact on the State of Wisconsin and the State Risk Management program.</p> <p>Claim files to be retained include those that are catastrophic in nature or breach one million dollars.</p> <p>Files may contain complete liability investigations and supporting documentation.</p> <p>Risk management supervisor, or equivalent, will determine if the claim may have possible historical significance.</p>	Yes	Yes Wis. Stat. §§ 51.30 and 146.82	EVT+25 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date claim is closed.		
RISK0038	Liability Incident	Incident files may include accident reports, damage reports, repair orders, estimates, adjuster claim reports and other investigative materials.	Yes	Yes Wis. Stat. §§ 51.30 and 146.82	EVT+11 years and destroy confidential.	Event is date of incident.		
OCCUPATIONAL SAFETY AND HEALTH RECORDS								
RISK0045	Safety Incident Records (Incidents Only, No Lost Time)	<p>These records include occupational safety and health incident reports for which no expenses have been incurred. Incidents only, no medical expenses incurred and no lost time.</p> <p>Information on incidents may include, but is not limited to, accident reports, supervisory analysis, safety officer analysis and related correspondence.</p> <p>See RDA RISK0049 for the retention of the occupational exposure incidents records.</p>	Yes	Yes Wis. Stat. § 146.82	EVT+12 years and destroy confidential.	Event is date of incident.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0046	Near-Miss Records	These records include documentation describing potentially unsafe working conditions or acts that could lead to losses. Data may be used to study trends, reduce risks and improve the safety of the working environment.	Yes	Yes Wis. Stat. § 146.82	EVT+5 years and destroy confidential.	Event is date of incident.		
RISK0048	Safety Data Sheets (SDS)	Per OSHA, each workplace is required to keep SDSs provided by manufacturers and importers of hazardous chemicals. This record series is for SDSs related to chemicals currently in use.	No	No	EVT+0 years and destroy.	Event is date SDS is superseded.		
RISK0095	Safety Data Sheets (SDS) – Discontinued Use	Per OSHA, each workplace is required to keep SDSs provided by manufacturers and importers of hazardous chemicals. This record series is for SDSs where the use of a specific chemical had been discontinued.	No	No	EVT+30 years and destroy.	Event is date use of chemical is discontinued and disposed of according to SDS.		
RISK0096	Toxic Substance List	This series is for toxic substance information lists as described by Wis. Stat. § 101.583. Toxic substance information lists may also be held that identify any toxic substance present in a workplace and the dates it was present. These may be used to provide employees with information regarding the chemicals they worked with.	No	No	EVT+30 years and destroy.	Event is date upon which the employer last received the toxic substance in the workplace.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0049	Exposure Records – Industrial Hygiene	<p>Includes environmental monitoring and analytical methods to detect potential worker exposure and any related form, report or record.</p> <p>Records may include, but are not limited to, documentation regarding personal exposure samples for chemicals, toxins, ionizing radiation, asbestos, lead, and noise; wipe samples to determine surface contamination; bulk samples to analyze for asbestos content; and reports or inspections or surveys of activities related to actual or potential occupational exposures.</p> <p>It also includes records of personal exposures required to be maintained that have been conducted or contracted for monitoring.</p>	Yes	Yes Wis. Stat. § 146.82	EVT+75 years and destroy confidential. Justification: Long-term potential for claims to be made.	Event is date of exposure.	<p>Example: Noise exposure records</p> <p>OSHA 29 CFR 1910, 1910.120 and 1926; also Wis. Stats. ch. SPS 332</p>	
RISK0097	Exposure Records – Bloodborne Pathogens	<p>Includes documentation of exposure to bloodborne pathogens or any other potentially infectious material (OPIM) and any related form, report or record.</p> <p>Exposure met when evaluation and medical attention for blood or any other potentially infectious material (OPIM) resulted from:</p> <ul style="list-style-type: none"> • A puncture of the skin with a needle, lancet, or other contaminated sharp item. • A splash, spray, or other transmission into the eyes, mouth, or nose. • Contact with blood or OPIM onto an open wound, an oozing lesion, or other area where there is significant skin breakdown. <p>Records may include, but are not limited to, documentation regarding personal exposure and reports, medical records relevant to the appropriate treatment of employee including vaccination status.</p>	Yes	Yes Wis. Stat. § 146.82	EVT+30 years and destroy confidential.	Event is date of termination from state service.	OSHA 29 CFR, 1910, 1910.1020 and 1910.1030	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0050	Non-Regulatory Workplace Safety Inspections	Includes safety inspections, audits, surveys or reviews of the workplace initiated, or contracted by, the unit of government.	No	No	EVT+7 years and destroy.	Event is date of report.		
RISK0051	Regulatory Authority Workplace Safety Inspections	Safety inspections, audits, department orders, section violations, corrective action orders and surveys or reviews of the workplace performed by an outside compliance entity such as OSHA or the Department of Safety and Professional Services. Includes citations and notifications of orders, penalties, results of investigations, Modification Abatement Plan requests, and final Abatement Plan documentation.	No	No	EVT+7 years and destroy.	Event is date of resolution or compliance plan.		
RISK0052	Job Hazard Analysis	Job safety surveys and analysis of a specific job or task. Includes documents used to identify, analyze and record the steps involved in performing a specific job, existing or potential safety and health hazards associated with each step and the recommended action(s)/procedure(s) that will eliminate or reduce the hazards and the risk of a workplace injury or illness.	No	No	EVT+7 years and destroy.	Event is date superseded or task eliminated.		
RISK0053	Ergonomics Assessments	Includes individual and workstation evaluations, pre-evaluation questionnaires, self-assessments, potential procurement documents, follow-ups and related materials.	Yes	No	EVT+12 years and destroy confidential.	Event is date of assessment.		
RISK0054	OSHA Logs	Includes OSHA Forms 300 and 300A - Log of Work-Related Injuries and Illnesses, Form 301 – Injury & Illness Incident Report and other equivalent forms.	Yes	No	EVT+7 years and destroy confidential.	Event is date of log.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0055	Industrial Hygiene Supporting Documents and Reports	<p>Includes control measures that protect employees from chemical, physical and/or biological stressors, such as noise, chemical exposures, excessive temperatures, dusts, mists, and vapors, and air quality evaluations/results.</p> <p>Includes, but is not limited to, records related to, indoor air quality surveys, noise and hearing conservation, respiratory protection, compliance exposure monitoring, baseline noise surveys, and other similar industrial hygiene surveys, assessments and reports.</p>	No	No	EVT+30 years and destroy.	Event is date of report.		
RISK0056	General Safety Reports and Records	<p>Records relating to general safety reports as well as concerns, complaints and issues. This may include follow-up steps, if any, to correct any noted deficiencies.</p> <p>Includes, but is not limited to, periodic reports concerning safety activities, including minutes of safety meetings, accident data analysis, safety and health program assessments, trend or accident analysis reports, chemical inventory lists, SCBA (Self-Contained Breathing Apparatus) inspections and other similar or related reports.</p>	No	No	EVT+2 years and destroy.	Event is date of report, closure or resolution, whichever is later.		
RISK0057	Safety Permits	Approved plan of work for specific job safety action. Examples include permits for Confined Space Entry, Lockout/Tagout, Hot Work and other related permits.	No	No	EVT+1 year and destroy.	Event is expiration of permit.		
RISK0058	Hoists, Cranes and Personnel Lifts Inspections	Includes inspection reports for hoists, slings and chains, gantry cranes, aerial-lifts, scissor lifts, and other similar records.	No	No	EVT+5 years and destroy.	Event is date of inspection.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0059	Safety Training <u>Not</u> Required by Law	Any safety related training <u>not</u> required by law whether provided internally by safety staff or contracted out. Includes materials created or used to promote training or train employees. Includes training schedules, course materials, evaluations, study guides, questionnaires, registration, sign-in sheets and tracking.	May include PII	No	EVT+5 years and destroy confidential.	Event is date superseded.		
RISK0060	Safety Training Required by Law	Any safety-related training required by law whether provided internally by safety staff or contracted out. Includes materials created or used to promote training or train employees. Includes training schedules, course materials, evaluations, study guides, questionnaires, registration, sign-in sheets and tracking.	May Include PII	May include confidential information Wis. Stat. § 19.36(9)	EVT+30 years and destroy confidential.	Event is date of training.		
ENVIRONMENTAL MANAGEMENT, PERMITTING AND COMPLIANCE RELATED RECORDS (These RDAs apply only to records of the regulated entities. Regulatory agencies must create their own RDAs.)								
RISK0070	Air Compliance Records	Records documenting compliance with air permits and area source regulations. May include permit documents, measurements and performance tests, monitoring data, calibration checks, emission test results, annual reports and supporting documents and data and other documents relating to air programs.	No	No	EVT+7 years and destroy.	Event is date superseded.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0071	Waste Site Records	<p>Documents related to waste handling, disposal, and shipping compliance. It also includes records regarding required training.</p> <p>Records may include, but are not limited to, uniform hazardous waste and non-hazardous special waste manifests, land disposal restriction forms, medical waste manifests, non-hazardous manifests, non-hazardous bills-of-lading, and certificates of receipt/destruction, waste site audits and other related records supporting potential site liability issues for disposal sites, include annual reports, inspection logs, waste analysis/profile documents, and exception reports.</p> <p>Also included are, records documenting compliance with Wis. Admin. Code § NR 665.0016(5), personnel training: job title, employee name, written position description, type and amount of training to be provided, documentation that training has been provided and completed. These records substantiate compliance with the Resource Conservation and Recovery Act (RCRA) which regulates how waste is disposed of as well as Wis. Admin. Code chs. NR 600 – 679 and 49 C.F.R. pt. 172.201(e).</p>	May Include PII	No	Permanent	<p>Justification:</p> <p>These records contain historical information needed when the property or parcel is transferred to a new owner and for potential liability claims that may arise.</p>		RISK0076 RISK0078 RISK0086

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0072	Emergency Planning & Community Right to Know Act (EPCRA)	Records documenting compliance with Emergency Planning and Community Right-to-Know Act (EPCRA) and Wis. Stat. ch. 323. Includes emergency planning notification records per EPCRA: section 302, emergency plans, emergency release notifications section 304, hazardous chemical reporting documentation (Tier II) reports section 311 and documentation, Toxics Release Inventory (TRI) reporting section 313.	No	Yes Wis. Stat. § 19.35(1)(a)	EVT+7 years and destroy confidential.	Event is date submitted.		
RISK0073	Infectious Waste Records	Records documenting compliance with Wis. Admin. Code ch. NR 526, Medical Waste Management. Records of the amount of infectious waste sent off-site for treatment, records that certify infectious waste was treated, annual reports and supporting documentation.	No	No	EVT+7 years and destroy.	Event is date waste is shipped.		
RISK0074	Medical Waste Reduction Documents	Records documenting compliance with Wis. Admin. Code ch. NR 526, Subchapter III Medical Waste Reduction. May include records of the amount of infectious waste sent off-site for treatment, medical waste audits and medical waste reduction plans.	No	No	EVT+7 years and destroy.	Event is date superseded.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0075	PCB (Polychlorinated Biphenyl) Records	<p>Includes PCB annual logs, PCB concentration logs, annual records, on-site storage locations, inventory lists, test reports, analytical reports, one year exception reports, spill cleanup records, equipment inspection logs and other similar records.</p> <p>See RDA# RISK0071 "Waste Site Records" for retention and disposition of PCB manifests and Certificates of Disposal retention.</p>	No	No	Permanent	<p>Justification:</p> <p>These records contain historical information needed when the property or parcel is transferred to a new owner and for potential liability claims that may arise.</p>		
RISK0077	RCRA Compliance - Large Quantity Generator Contingency Plan	<p>Records documenting compliance with Wis. Admin. Code ch. NR 665 Subchapter D: Contingency Plan and Emergency Procedures.</p> <p>Records may include, but are not limited to, descriptions of the emergency action's facility personnel will take in response to fires, explosions or any unplanned sudden or non-sudden release of hazardous waste or hazardous waste constituents that may impact air, soil or surface water.</p> <p>Keep all revisions of the plan until facility closes per Wis. Admin. Code ch. NR 53 and 665.0054.</p>	No	No	EVT+7 years and destroy.	Event is date of facility closure.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0079	Clean Water Act Compliance Records	Records documenting compliance with Clean Water Act and other water regulations. Includes records related to Spill Prevention Control and Countermeasure (SPCC), Wisconsin Pollution Discharge Elimination System (WPDES), stormwater management and other records relating to environmental compliance with water regulations.	No	No	EVT+7 years and destroy.	Event is date superseded.		
RISK0080	Safe Drinking Water Act Compliance Records	Records documenting compliance with Safe Water Drinking Act 40 C.F.R. pt. 141 and related programs. Microbiological analyses and turbidity analyses, records of chemical analyses, action taken by the system to correct violations of primary drinking water regulations, reports, summaries or correspondence relating to sanitary surveys of the system.	No	No	EVT+10 years and destroy.	Event is date of report or resolution, whichever is longer.		
HAZARDOUS MATERIALS TRANSPORTATION RECORDS								
RISK0085	Hazardous Materials Regulations Training Records	Records documenting compliance with training of hazmat employees in accordance with 49 C.F.R. § 172.704 (USDOT). The training record must include the employee's name, date of training completion, a description, supporting documentation, or the location of the training materials used to meet the requirements, the name and address of the person providing the training and certification that the hazmat employee has been trained and tested as required. Per 49 C.F.R. § 172.704 (USDOT): A record of current training, inclusive of the preceding three years shall be created and retained for each hazmat employee.	Yes	No	EVT+7 years and destroy confidential.	Event is date of employee's current certification.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RADIOACTIVE MATERIALS / RADIATION RECORDS								
RISK0090	Radioactive Materials / Radiation – Supporting Documents	<p>Includes documents and related records supporting the use of radioactive materials or devices for radiation management programs or devices that may be disposed of prior to the termination of the license or program requiring the record.</p> <p>Records include, but are not limited to, audits/reviews/inspections, program changes, records of leak tests or contamination checks, results of surveys or calibrations, records of dosages of unsealed radioactive material for medical use, written directives approving therapeutic dosages, radiation training records, records of major malfunctions or defects involving required radiation safety equipment.</p> <p>Records are described by irradiator device records in Wis. Admin. Code DHS § 157.73(22); Standards for Protection from Radiation in Wis. Admin. Code DHS § 157.31, industrial radiography device records in Wis. Admin. Code DHS § 157.45 & medical use records in Wis. Admin. Code DHS § 157.71</p>	No	No	EVT+7 years and destroy.	Event is date of document creation.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0091	Radioactive Materials / Radiation – License Documents	<p>Includes documents and related records supporting the use of radioactive materials or devices for radiation management programs or devices that may NOT be disposed of prior to the termination of the license or program requiring the record.</p> <p>Records include, but are not limited to license or registration documentation, operating and emergency procedures; records of planned special exposures; records of doses to members of the general public measurements and calculations used to determine release of radioactive effluent and personnel dosimeter results.</p> <p>Records are described by irradiator device records in Wis. Admin. Code DHS § 157.73(22); Standards for Protection from Radiation in Wis. Admin. Code DHS § 157.31, industrial radiography device records in Wis. Admin. Code DHS § 157.45 & medical use records in Wis. Admin. Code DHS § 157.71</p>	No	No	EVT+3 years and destroy.	Event is termination of license or registration of the device.		
RISK0092	Radioactive Materials / Radiation – Individual Monitoring Records	Records of doses for those whom monitoring is required under Wis. Admin. Code DHS § 157.25 (2), as a result of planned special exposures, accidents, or emergencies. Records include whole body deep dose equivalent, lens dose equivalent, skin, extremity dose; estimated intake of radionuclides, and total effective dose equivalent.	Yes	Yes Wis. ADM. Code DHS § 157.31 (7)(g)	Permanent	Justification: Wis. Admin. Code DHS § 157.31(7)(f)		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
RISK0093	Radioactive Materials / Radiation – Records Related to Decommissioning	Information related to decommissioning of a facility in an identified location. Records include, but are not limited to, spill records, list, drawings and modifications of restricted areas, waste-burial areas, and funding for decommissioning as defined by Wis. Admin. Code DHS § 157.15(7).	No	No	EVT+3 years and destroy.	Event is date site is approved by DHS for unrestricted use.		
RISK0094	Radioactive Materials / Radiation device Receipt and Disposition Records	<p>Licensee or registrant's records showing the receipt, transfer and disposal of all sources of radiation per Wis. Admin. Code DHS § 157.06(1).</p> <p>Wis. Admin. Code DHS § 157.06(1): a licensee or registrant shall maintain records showing the receipt, transfer and disposal of all sources of radiation until the department terminates the license or registration authorizing possession of the device or material, and for 3 years following transfer or disposal of the device or material.</p>	No	No	EVT+3 years and destroy.	Event is date of termination of the license / registration authorizing possession of the materials or radiation device.		

Closed Series

A closed series contains records that are no longer created, nor are they expected to be in the future.

RDA Number	Record Series Title	Minimum Retention and Disposition	Rationale

Related Records Series

Information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records.

RDA Number	Record Series Title	Description	Notes/Comments
HR000185	Training Attendance and Course Offering Records	Records of employee attendance at training activities, which may include employee name, work unit name, address, telephone, dates of training, name of class attended, and evidence of satisfactory completion of training. Course catalogs include course offerings, dates, fees, registration deadlines, and sample forms on how to register.	

Revision History

A listing of changes to this GRS.

Revision Date	RDA Number	Record Series Title	Revision Made
11-20-2023	RISK0001	Risk Management Information System Output Reports	Superseded with ADMIN354 and ADMIN355
11-20-2023	RISK0003	Risk Management Conference Materials	Superseded with ADMIN451 and ADMIN452
11-20-2023	RISK0011	State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records	Superseded with ADMIN400 and ADMIN401
11-20-2023	RISK0015	Property and Liability General Correspondence	Superseded with ADMIN200, ADMIN201 and ADMIN405
11-20-2023	RISK0016	State Government Property & Liability Guidelines, Procedures, Policies and Other Related Records	Superseded with ADMIN400 and ADMIN401
11-20-2023	RISK0039	Volunteer Health Care Program (VHCP)	Record Series for Dept. of Health Services only.
11-20-2023	RISK0047	Safety and Health Program	Superseded with ADMIN400 and ADMIN401