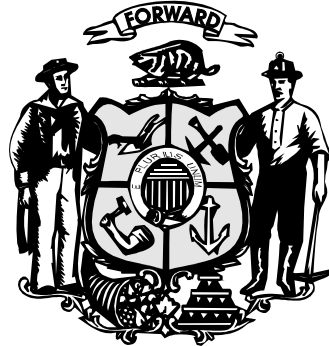


General Records Schedule

Risk Management and Related Records

Approved by the Public Records Board:

February 25, 2013



Revised: August 24, 2015

Expiration: February 25, 2023

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

SCOPE

[§16.865 Wis. Stats.](#), provides that the Department of Administration (DOA) will coordinate a statewide Risk Management program in order to:

- Protect the state from losses which are catastrophic in nature and minimize total cost to the state of all activities related to the control of accidental loss; and
- Place emphasis on the reduction of loss through professional attention to scientific loss control techniques and by motivational incentives, prompt claims payments and other loss prevention measures.

This General Records Schedule (GRS) covers risk management and related records of Wisconsin state agencies which include worker's compensation, property, liability, occupational health and safety, environmental management, permitting and compliance, hazardous materials transportation, and radioactive materials/radiation records. This schedule replaces the current Workers Compensation and Related Records GRS revised and approved by the Public Records Board (PRB) on July 1997.

This general records schedule applies to all Wisconsin government agencies and University of Wisconsin System Administration and all campuses.

A companion document, [Introduction to General Records Schedules](#), found on the Public Records Board (PRB) [website](#), provides more information and guidance about the use of general records schedules by Wisconsin state agencies.

RECORDS NOT COVERED BY THIS GRS

This general schedule does **not** include the following types of records:

- Worker's compensation records maintained by the Department of Workforce Development (DWD) for purposes of regulating worker's compensation functions under Chapter 102, Wis. Stats., and related rules and statutes.
- Records created by other state agencies in their function as regulatory agencies. (For example DNR, DHS, WEM, and DSPS among others.)

INTERRELATED RECORDS CROSS-REFERENCED

Other records related to Risk Management are covered by other approved general schedules. These include Human Resources, Facilities, Fiscal & Accounting, Purchasing & Procurement and Administrative records GRS.

RECORDS FORMAT

Records covered in this schedule may be retained either in electronic or in paper format. This schedule also applies to all records born digital (including those created or transmitted via e-mail), data contained in database systems, tapes/ cartridges and other types of electronic records and information systems maintained and managed by DOA's Bureau of State Risk Management (BSRM) and other state agencies. In order 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 Wisconsin Administrative Rule, [Chapter ADM 12](#).

OFFICIAL RECORD

Each record series contained herein covers official records, in all formats, maintained by either DOA, other state agencies or both parties including the electronic data contained in DOA's Risk Management information System (RMIS).

AGENCY COPY

The agency copy is that copy that must be retained to satisfy any agency-specific management requirement of the agency's operation. It must follow the same retention periods outlined in this schedule.

REFERENCE OR CONVENIENCE COPIES

Reference or convenience copies are duplicates kept by agency staff for personal use or convenience. These copies are considered *non-records* under [§16.61\(2\), Wis. Stats.](#), and should be destroyed when no longer needed. **DO NOT** retain reference or convenience copies longer than the retention periods specified in this schedule and do not send to offsite storage or the State Records Center (SRC).

WISCONSIN DOCUMENT DEPOSITORY PROGRAM

[§35.83 Wis. Stats.](#), as amended by 1991 Wisconsin Act 285, requires Wisconsin state agencies to send copies of their publications, regardless of format, to the Wisconsin Reference and Loan Library for distribution to libraries through the [Wisconsin Document Depository Program](#). The Wisconsin Document Depository Program collects and distributes state publications in print and electronic formats to Wisconsin libraries; preserves and makes available a record of major state government programs; and assures the availability of state publications for use by the public throughout Wisconsin now and in the future. For more information, contact the Wisconsin Reference and Loan Library via email at statedocuments@dpi.wi.gov.

ELECTRONIC STATE PUBLICATIONS

Many state publications are now born digital. They are only published on the Web. Electronic publications are collected and preserved as part of the Wisconsin Document Depository Program. URLs to state publications published electronically on Wisconsin State Agency websites should be emailed directly to statedocuments@dpi.wi.gov as a way for state agencies to fulfill the statutory obligation to participate in the Wisconsin Document Depository Program.

CONFIDENTIALITY OF RECORDS

In accordance with [§102.33 \(2\) \(b\), Wis. Stats.](#), Risk Management records maintained by the State of Wisconsin ([§102.08, Wis. Stats.](#)), shall be confidential where they reveal the identity of an employee who claims worker's compensation or any other compensation, the nature of the employee's claimed injury, the employee's past or present medical condition, the extent of the employee's disability, or the amount, type, or duration of benefits paid to the employee. In addition, some record series in this schedule may contain additional confidential or restricted access information such as social security numbers, medical and mental health and treatment records, attorney-client privileged communications, attorney work products, and other assessment/strategy information records. These records are subject to confidentiality rules as authorized by the appropriate statutes such as [s. 146.81-146.83](#) and [s.51.30 Wis. Stats](#) and HIPAA regulations and cannot be disclosed or released without legal consent. Records that are *not* privileged may be provided to any party when the employee who is the subject of the record, or an attorney or authorized agent of the employee, provides a written authorization for inspection and copying.

PERSONALLY IDENTIFIABLE INFORMATION (PII)

Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain personally identifiable information (PII). [§19.62\(5\) Wis. Stats.](#), defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Those record series identified as containing PII on the schedule should further indicate whether the PII is incidental to the primary purpose for which the record series is created. Certain risk management records may contain personally identifiable information such as social security number, telephone number, addresses, etc., that can be associated with a particular individual. This information cannot be disclosed. If in doubt as to whether a specific record series contains PII, check with agency legal counsel, either within your agency or by contacting the Attorney General’s office.

RISK MANAGEMENT INFORMATION SYSTEM (RMIS)

DOA and state agencies use a Risk Management Information System (RMIS) to manage risk management claims information. The information in the database is created with the information from the official paper files of the accident reports, employee exposure records, supervisory analysis, safety officer analysis and related correspondence.

The RMIS interfaces and provides data to the State of Wisconsin accounting system which is operated by DOA for statewide fund accounting, expenditure monitoring and generation of financial statements.

The system enables all state agencies and University of Wisconsin System Administration and institutions to enter claims on RMIS, to read claims and to run management reports for their institutions. DOA’s Bureau of State Risk Management (BSRM) has provided RMIS access to the University of Wisconsin System and its institutions. BSRM has also provided RMIS access to all state agencies in a limited capacity. This allows all locations the ability to enter claims into RMIS, and/or run loss reports from RMIS. DOA’s RMIS is the only official, electronic data system included in this schedule. Agencies and UW System institutions maintaining separate information systems or databases to manage these records should develop their own Retention Disposition Authorization (RDAs) to schedule these systems. Documents in risk management information systems unique to agencies or UW institutions are **not** considered as official RMIS records.

DOA’s Bureau of State Risk Management is committed to converting data to new technology to insure accessibility over time to comply with the requirements of [ADM 12](#).

FOR EFFECTIVE USE OF THIS SCHEDULE

The schedule requires some interpretation, training and application to specific agency titles of the risk management function records. Titles of records series may not be the exact titles used by an agency. If agency staff is uncertain about the schedule’s application to a specific group of records or needs help determining whether or not a specific record is confidential they should seek assistance from their risk management program manager, their agency records officer, legal counsel or DOA’s BSRM staff. For other sources of advice see “For Additional Information and Assistance” section below.

RETAINING RECORDS

Agencies are required to follow this schedule for the proper retention and disposition of these records. Retention periods established in this schedule are minimum retention requirements. Records may be retained for longer periods if needed but disposition should be done on a continuing basis, after the records have met their retention period provided there is not a legal hold (an open records request, an open audit or pending/current litigation

proceedings) in place for those records at the time of disposition. It is the responsibility of the office holding the record to determine if a legal hold is in place before disposing of that record.

RECORDS DISPOSAL

When disposing of records that have met their retention periods, agencies must ensure that records identified in this schedule as containing PII or confidential information are disposed of so the information cannot be compromised or reconstructed. RDAs in this schedule may contain PII, confidential or both types of information. Any records identified in the RDA in this schedule that has one or both of these types of information (i.e. with a “Yes” in the PII or Confidential column in the schedule) must be destroyed in a confidential manner. The best method to ensure that this information is properly disposed of is by shredding the information. The SRC offers confidential destruction services for all state agencies.

FOR ADDITIONAL INFORMATION AND ASSISTANCE

For additional information and assistance implementing this general schedule, agencies staff should contact:

- Agency Records Officer or Risk Management Staff
- DOA Bureau of State Risk Management, 101 East Wilson Street, P.O. Box 77008, Madison, WI 53707-1008.
- UW System Administration, Office of General Counsel, 1852 Van Hise Hall, 1220 Linden Dr. Madison, WI 53706.

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
GENERAL RISK MANAGEMENT RELATED RECORDS								
RISK0001	RMIS Output Reports	These records include monthly or quarterly reports which are distributed to department heads, division administrators in state agencies and UW institutions. Reports support program initiatives. Examples of these reports include benchmark reports.	Superseded or when no longer needed	Event and Destroy	No	No		90308 WCCS Output Reports
RISK0002	Proposals for Insurance Coverage	<p>§16.865 Wis. Stats. mandates responsibility for statewide risk management coordination. This includes providing insurance coverage for state agencies. Records may include non-selected bids for property, liability, and Worker’s Compensation coverage. Successful proposals for insurance coverage would then produce insurance contracts, which would be handled as underlined under RDAs RISK0025 and RISK0035.</p> <p>Agencies that receive authorization from DOA’s BSRM may secure coverage for specific business purposes on their own.</p>	Date Bid is Closed	Event + 7 Years Destroy	No	No	<p>Example: Owner Controlled Insurance Program (OCIP). Insurance services for these projects are placed by private negotiation and competitive bid.</p> <p>Official File: Agency handling the request for bid/proposal.</p>	
RISK0003	Risk Management Conferences Materials	<p>DOA’s Annual Risk Management Conference publications and materials.</p> <p>Records series may include comprehensive, original materials documenting planning for Risk Management conferences as well as original conference hand-outs.</p>	Date of Risk Management Conference	Event + 5 Years and Destroy	No	No	Copies of these materials kept by conference attendees are not considered records but reference materials.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
WORKER'S COMPENSATION RELATED RECORDS								
RISK0010	Worker's Compensation Claims Case Files	<p>Worker's compensation claims filed by state and UW System employees. 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> <p>Typical records may include, but are not limited to: accident reports, medical reports, employee exposure records, certifications, payment information, medical invoices, investigation materials, subrogation files, workers compensation claims fact sheet, medical information authorization, labor market availability restriction statement, vocational rehabilitation information, related correspondence and other related forms.</p> <p>This information is also entered into the Department of Administration's Risk Management Information System (RMIS). This system is managed by DOA's Bureau of State Risk Management. The information</p>	Date Claim is Closed	Event+ 30 Years and Destroy Confidential	Yes	Yes §102.33 Wis. Stats. (Worker's Compensation Records)		<p>90300 Workers Compensation Claims Case Files</p> <p>90304 WCCS Worker's Compensation Claims Files</p>

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
		<p>entered in the system originates from the official paper files related to medical claims (no lost time), lost time claims, and hazardous employment claims and includes: claim number, name, address, social security number, date of birth, type of claim, agency identification code, location of claim, cause of claim, result of injury, payment histories, etc. All agencies and UW-System have access to this database.</p> <p>This record series covers the electronic data in the RMIS and the paper files kept at the agencies and the UW-System.</p>						
See Occupational Safety and Health Section	Incident Reports (Incidents only, no lost time)	See RDA RISK0045 in the Occupational Safety and Health Records Section of this schedule for retention and disposition of these records.						90302 Incident Reports - No Claims
See Occupational Safety and Health Section	Near-Miss Reports	See RDA RISK0046 in the Occupational Safety and Health Records Section of this schedule for retention and disposition of these records.						90303 Near Miss Reports
RISK0011	State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records	Records include Workers Compensation program guidelines, procedures, policies and other related records for managing workers compensation claims per Chapter 102 Wis. Stats.	Superseded	Event + 7 Years and Destroy	No	No	Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.	90309 Statewide WC Policies 90310 WC Procedures and Procedural Correspondence

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PROPERTY AND LIABILITY RELATED RECORDS								
RISK0015	Property and Liability General Correspondence	<p>General correspondence relating to ongoing administration/management of state self-funded property and liability programs is generated under §16.865, §20.865 (f) (fm) (dm) Wis. Stats.</p> <p>Records may include letters and memos relating to all aspects of state risk management property and liability programs. Examples include Van Driver Training records and applications; Driver Abstract reviews and findings shared with agency staff.</p>	Closure of Specific Issue Addressed by the Correspondence	Event + 5 Years and Destroy	No	No	<p>Note: Files contained in this records series represent materials that are not contained in the Property and/or Liability Claim Files RDAs: RISK0026 & RISK0036.</p>	
RISK0016	State Government Property & Liability Guidelines, Procedures, Policies and Other Related Records	<p>Records include property and liability program guidelines, procedures, policies and other related records for managing property and liability claims per §16.865, 20.865, and 895.46 Wis. Stats.</p>	Superseded	Event + 7 Years and Destroy	No	No	<p>Examples: delegation agreements, Property and Liability Manual.</p> <p>Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.</p>	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0017	Statewide Premium Process & Documentation	<p>Annually, the Bureau of State Risk Management under authority of §16.865, and §20.865 (1) (f) Wis. Stats., develops fiscal year premium documents which support the State Risk Management Program. This process reviews both the exposure and the experience of state agencies and incorporates this information into the development of state agency premiums. The premiums generated pay liability, worker’s compensation and property claims and maintain the administrative functions of the program.</p> <p>This record series may include documents comprised of building values and content inventories. It also includes RMIS reports generated to support the agency’s related experience over time, written documentation explaining the purpose and process of the premium function.</p> <p>Official copy is at DOA. All state agencies maintain background information.</p>	Date of Document Creation	Event + 20 Years and Destroy Confidential	Yes	Yes	<p>Wisbuild inventory reports, RMIS reports, agency summary documents</p> <p>Note: Museums records risk insurance is covered under this RDA. Works of art valuation and inventory lists are kept by the agencies that have these records.</p>	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PROPERTY PROGRAM RELATED RECORDS								
RISK0025	Property Insurance Policies (General & Excess)	<p>Pursuant to §16.865(5) Wis. Stats., the Department of Administration 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. Agencies that receive authorization from BSRM may secure coverage for specific business purposes on their own.</p> <p>This file may include the original copy of the policy, endorsements to the policy, list of carriers, coverage limits and premiums.</p>	Policy Effective Date	Event + 30 Years and Destroy	No	No	Official record is kept at the originating agency	
RISK0026	Property Claim Files	<p>§16.865 Wis. Stats., mandates responsibility for statewide risk management coordination including managing the statewide self-funded property program.</p> <p>Claim files may include accident/property loss reports, investigative reports, evidential documents such as photographs, payment vouchers and any related correspondence. These records represent the official property claim files.</p>	Date Claim is Closed	Event + 5 Years and Destroy Confidential	Yes	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0027	Precedent-Setting Property Claims	<p>This records series pertains to property claims which have precedent-setting impact on the State of Wisconsin and the State Risk Management program. Claim files to be retained include those that are catastrophic in nature and/or breach one million dollars. Additionally, large losses that have multiple locations, such as the June 2008 flooding, or claims that may have large subrogation actions would also be included.</p> <p>Files may contain complete property investigations and supporting documentation.</p>	Date Claim is Closed	Event + 25 Years and Transfer to WHS	Yes	No		
RISK0028	Property Incident and Denial Reports – No Claim Filed	Incident and denial files may include accident reports, damage reports, repair orders, estimates, adjuster claim reports and other investigative materials. No claim was generated and no payment was made.	Date of Incident	Event + 5 Years and Destroy Confidential	Yes	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
LIABILITY PROGRAM RELATED RECORDS								
RISK0035	Liability Insurance Policies (General, and Excess)	<p>Pursuant to §16.865(5) Wis. Stats., the Department of Administration 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. Agencies that receive authorization from BSRM may secure coverage for specific business purposes on their own.</p> <p>This file may include the original copy of the policy, endorsements to the policy, list of carriers, coverage limits and premiums.</p>	Policy Effective Date	Event + 75 Years and Destroy	No	No	Copies may be kept at the agency or at DOA BSRM	
RISK0036	Liability Claim Files	<p>§16.865 Wis. Stats., mandates responsibility for statewide risk management coordination including managing the statewide self-funded liability program.</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> <p>Documents include accident reports, damage reports, repair orders, estimates, adjuster claim reports and release of all claims. Payment letters and photocopies of checks are also included.</p>	<p>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>	Event + 11 Years and Destroy Confidential	Yes	<p>Yes</p> <p>§146.82 Wis. Stats. (Medical Records)</p> <p>§51.30 Wis. Stats. (Mental Health Care & Treatment Records)</p>		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (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. Claim files to be retained include those that are catastrophic in nature and/or breach one million dollars.</p> <p>Files may contain complete liability investigations and supporting documentation.</p>	Date Claim is Closed	Event + 25 Years and Transfer to WHS	Yes	<p>Yes §146.82 Wis. Stats. (Medical Records)</p> <p>§51.30 Wis. Stats. (Mental Health Care & Treatment Records)</p>		
RISK0038	Liability Incident and Denial Documentation – No Claim Filed	<p>Incident and denial files may include accident reports, damage reports, repair orders, estimates, adjuster claim reports and other investigative materials. No claim was generated and no payment was made.</p>	Date of Incident	Event + 11 Years and Destroy Confidential	Yes	<p>Yes §146.82 Wis. Stats. (Medical Records)</p>	Note: There is a potential that a claim may be filed many years later.	
RISK0039	Volunteer Health Care Program (VHCP)	<p>The Volunteer Health Care Program was originally enacted in 1989 as a pilot program in Brown & Racine Counties. It has since spread state wide to address health care needs of the uninsured, underinsured and those on different state run medical programs.</p> <p>Documentation related to the approval of all volunteer health care applicants for this statewide program. Document examples include completed applications, approval letters, Department of Safety and Professional Services (DSPS) information on licensure for each applicant, policy decisions and program expansion correspondence.</p> <p>Claims generated from this program are handled by the liability program and the files are covered within RDA RISK0036.</p>	Date BSRM Approves or Denies the Application	Event + 25 Years and Destroy Confidential	Yes	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
<u>OCCUPATIONAL SAFETY AND HEALTH RECORDS</u>								
RISK0045	Incident Reports (Incidents Only, No Lost Time)	<p>This records series covers incident reports for which no expenses have been incurred. Incidents only, no medical expenses incurred and no lost time.</p> <p>Information on incidents is documented in the accident report, supervisory analysis, safety officer analysis and related correspondence.</p> <p>See RDA RISK0049 for the retention of the occupational exposure incidents records.</p>	Date of Incident	Event + 12 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)		90302 Incident Reports – No Claim
RISK0046	Near-Miss Reports	These records are documentation on accident analysis forms describing hazardous working conditions that could lead to worker’s compensation claims. Data from these forms are gleaned to study trends and to improve a safe working environment.	Date of Incident	Event + 5 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)		90303 Near-Miss Reports
RISK0047	Safety and Health Program	State agency’s written safety programs, annual plans, policies, procedures, guidelines, components, monitoring data and reports for programs such as Confined Space, Ergonomics, Hazard Communication, Bloodborne Pathogens, Fall Protection, Hot Work, Lockout/Tagout, Hazard Communication, Hearing Conservation, Respiratory Protection, Powered Industrial Trucks, Personal Protective Equipment and other similar safety programs. Also includes agency Emergency Action Plans and Employee Summary Guides (i.e. agencies’ evacuation and safe sheltering plans and procedures for employee safety during emergency conditions, evacuation routes, etc. It also includes agency fire and tornado drill reports).	Superseded	Event + 7 Years and Destroy	No	No	See Administrative Records GRS RDA ADM00008 for agencies’ official copy and work papers of the COOP/COG plan.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0048	Safety Data Sheets (SDS)	Per OSHA each workplace is required to keep SDSs provided by manufacturers and importers of hazardous chemicals.	SDS is Superseded OR Use of Chemical is Discontinued	If SDS is superseded, destroy previous SDS and keep the most current one OR If use of chemical is discontinued retain SDS for 30 years and destroy	No	No	This RDA is no longer part of the Facilities GRS. The series title has been renamed to Safety Data Sheets (SDS) which is the new name assigned by OSHA.	FAC00067 Material Safety Data Sheets (MSDS)
RISK0049	Exposure Records	Includes the specifics of the incident and any agency related form, report or record. It also includes records of personal exposures required to be maintained by the agency that has conducted or contracted for the monitoring. In most cases records includes documents such as personal exposure samples for chemicals, 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.	Date of Exposure	Event +75 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)	Example: Noise exposure records OSHA 29 CFR 1910, 1910.120 and 1926; also Chapter SPS 332 Wis. Stats.	
RISK0050	Internal Workplace Safety Inspections	Includes safety inspections, audits, surveys or reviews of the workplace initiated or contracted by the resident state agency.	Date of Report	Event + 7 Years and Destroy	No	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0051	Compliance 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 agency such as OSHA or the Department of Safety and Professional Services. Includes citations and notifications of penalties, results of investigations, Modification Abatement Plan requests, and final Abatement Plan documentation.	Date of Resolution or Compliance Plan	Event + 7 Years and Destroy	No	No		
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.	Superseded or Task Eliminated	Event + 7 Years and Destroy	No	No		
RISK0053	Ergonomics Assessments and Related Material	Includes individual and workstation evaluations, pre-evaluation questionnaires, potential procurement documents, follow-ups and all related materials.	Date of Assessment	Event + 7 Years and Destroy Confidential	Yes	No		
RISK0054	OSHA Logs	Includes OSHA Form 300- Log of Work Related Injuries and Illnesses, Form 301 – Injury & Illness Incident Report and other equivalent forms.	Date of Log	Event + 7 Years and Destroy Confidential	Yes	No		
RISK0055	Industrial Hygiene Supporting Documents and Reports	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. Included among these records are 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.	Date of Report	Event + 30 Years and Destroy	No	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0056	General Safety Reports, Issues, Complaints and Inquiries Received/Generated by Safety Staff	Included in the file are responses to all inquiries and noted follow-up steps, if any, to correct any noted deficiencies. Also includes periodic reports concerning agency safety activities, including minutes of monthly 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.	Date of Resolution	Event + 2 Years and Destroy	No	No	Records not included in specific program RDAs. May include Safety Committee inquiries.	
RISK0057	Safety Permits	Approved plan of work for specific job safety action. Examples include permits for Confined Space Entry, Lockout/Tagout, Hot Works and other related permits.	Expiration of Permit	Event + 1 Year and Destroy	No	No		
RISK0058	Hoists, Cranes and Personnel Lifts Inspections	Includes inspection reports for hoists, slings and chains, gantry cranes, man-lifts, scissor lifts, and other and similar records.	Date of Inspection	Event+5 Years and Destroy	No	No		
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 by state agencies and/or the Bureau of State Risk Management to promote training or train state employees. Includes training schedules, course materials, evaluations, study guides, questionnaires, registration, sign-in sheets and tracking.	Superseded	Event+5 Years and Destroy	No	No	Training for slips, trips and falls, safe lifting, ergonomics, ladders and similar programs	
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 by state agencies and/or the Bureau of State Risk Management to promote training or train state employees. Includes training schedules, course materials, evaluations, study guides, questionnaires, registration, sign-in sheets and tracking.	Date of Training	Event+ 30 Years and Destroy	No	No	Note: These records must be kept post employment to verify employees received the necessary training.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
ENVIRONMENTAL MANAGEMENT, PERMITTING AND COMPLIANCE RELATED RECORDS (These rdas apply only to records of the regulated agencies. 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.	Superseded by the Revised Documents	Event + 7 Years and Destroy	No	No		
RISK0071	Waste Disposal Site Records	Records series includes documents related to potential liability associated with sending waste for disposal. Includes 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.		Permanent	No	No	Example: Superfund (CERCLA) documents	
RISK0072	Emergency Planning & Community Right to Know (EPCRA)	Records documenting compliance with Emergency Planning and Community Right-to-Know Act (EPCRA) and Chapter 323 Wis. Stats. Includes emergency planning notification records 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.	Date Submitted	Event + 7 Years and Destroy	No	No	A potential security issue may exist with the release of this information. Seek authorization from agency legal counsel before releasing any information.	
RISK0073	Infectious Waste Records	Records documenting compliance with NR 526, Medical Waste Management. Records of the amount of infectious waste sent off-site for treatment, records that certify infectious waste was treated, copies of annual reports and similar records.	Date Waste was Shipped	Event + 7 Years and Destroy	No	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0074	Medical Waste Reduction Documents	Records documenting compliance with 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.	Superseded	Event + 7 Years and Destroy	No	No		
RISK0075	PCB (Polychlorinated Biphenyl) Records	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. See RDA# RISK0071 "Waste Disposal Site Records" for retention and disposition of PCB manifests and Certificates of Disposal retention.	Date of Document Creation	Event + 7 Years and Destroy	No	No		
RISK0076	RCRA (Resource Conservation and Recovery Act) Compliance	RCRA regulates how waste is disposed. Includes records documenting procedural compliance with NR 600 – 679. May include annual reports, inspection logs, waste analysis/profile documents, exception reports, and other related records. See RDA# RISK0071 "Waste Disposal Site Records" for retention and disposition of PCB manifests and Certificates of Disposal retention.	Date of Document Creation	Event + 7 Years and Destroy	No	No		
RISK0077	RCRA compliance - Large Quantity Generator Contingency Plan	Records documenting compliance with NR 665 Subchapter D: Contingency Plan and Emergency Procedures. Description of the actions facility personnel will take in response to fires, explosions or any unplanned sudden or non-sudden release of hazardous waste or hazardous waste constituents to air, soil or surface water at the facility. Keep copies of all revisions of the plan until facility closes per NR 665.0054.	Date of Facility Closure	Event + 7 Years and Destroy	No	No	See also NR 665.0053	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0078	RCRA compliance - Large Quantity Generator Training Records	Records documenting compliance with 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.	Date Employee Last Worked in the Facility	Event + 7 Years and Destroy	No	No	Per NR 665.0016(5)	
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.	Date Document was Superseded	Event + 7 Years and Destroy	No	No		
RISK0080	Safe Drinking Water Act Compliance Records	Records documenting compliance with Safe Water Drinking Act 40 CFR 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, written reports, summaries or communications relating to sanitary surveys of the system.	Date of Document Creation	Event + 10 Years and Destroy	No	No	Per 40 CFR 141.33 (EPA)	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
HAZARDOUS MATERIALS TRANSPORTATION RECORDS								
RISK0085	Hazardous Materials Regulations Training Records	<p>Records documenting compliance with training of hazmat employees in accordance with 49 CFR 172.704 (USDOT). The training record must include the employee's name, the most recent training completion date of the employee's training, a description, copy, 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.</p> <p>Per 49 CFR 172.704 (USDOT): A record of current training, inclusive of the preceding three years shall be created and retained for each hazmat employee.</p>	Employee Current Certification Date	Event + 7 Years and Destroy	No	No		
RISK0086	Hazardous Materials Shipping Papers	<p>Records documenting compliance with shipping papers used to offer hazardous materials other than waste in accordance with 49 CFR 172.201(e) (USDOT).</p> <p>See RDA# RISK0071 "Waste Disposal Site Records" for retention and disposition of hazardous waste and PCB manifests and Certificates of Disposal retention.</p> <p>49 CFR 172.201(e). Retention and Recordkeeping. Each person who provides a shipping paper must retain a copy of the shipping paper required by 49 CFR 172.200(a), or an electronic image thereof, that is accessible at or through its principal place of business and must make the shipping paper available, upon request, to an authorized official of a Federal, State, or local government agency at reasonable times and locations.</p>	Date Material was Accepted by Initial Carrier	Event + 3 Years and Destroy	No	No	For hazardous waste shipping papers see RISK0071 .	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RADIOACTIVE MATERIALS/RADIATION RECORDS								
RISK0090	Radioactive materials/radiation – supporting documents	Includes documents and related records that support radioactive materials and or radiation management program that may be disposed prior to the termination of the license or program requiring the record. Includes audits/reviews, area/package surveys, leak test results, tests on entry control devices, irradiator use 157.73(22); industrial radiography devices DHS 157.45; medical use records DHS 157.71; records relating to x-rays devices: diagnostic DHS 157.75, veterinary DHS 157.79; CT DHS 157.80 and dental DHS 157.77, DHS 157.78 .	Date of Document Creation	Event + 7 Years and Destroy	No	No	Retention requirements as specified by DHS 157.31.	
RISK0091	Radioactive Materials / Radiation – License Documents	Includes documents and related records that support radioactive materials and or radiation management program that may not be disposed prior to the termination of the license or program requiring the record. Provisions of the program, surveys, measurements, calculations used to determine dose. Measurement and calculations used to determine release of radioactive effluent, doses to members of the general public DHS 157.31; irradiator use 157.73(22); industrial radiography devices DHS 157.45; medical use records DHS 157.71.	Termination of License or Registration of the Device	Event and Destroy	No	No	Retention requirements as specified by DHS 157.31	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0092	Radioactive Materials/Radiation – Individual Monitoring Records	Records of doses for those whom monitoring is required under DHS 157.25 (2), planned special exposures, accidents, emergencies. Records include whole body deep dose equivalent, lens dose equivalent, skin, extremity dose; estimated intake of radionuclides, total effective dose equivalent DHS 157.31.		Permanent DHS 157.31(7)(f)	Yes DHS 157.31(7)(g)	Yes Contain SSN DHS 157.31(7)(g)	(DHS 157.31(7) (f) and (g) requires the permanent retention of these records. Section (g) prohibits the disclosure of these records.	
RISK0093	Radioactive Materials/ Radiation – Records Related to Decommissioning	Information related to decommissioning of a facility in an identified location. Records include Spill records, list, drawings and modifications of restricted areas, waste-burial areas, funding for decommissioning DHS 157.15(7)	Date site is approved by DHS for unrestricted use	Event and Destroy	No	No		
RISK0094	Radioactive Materials/ Radiation device Receipt and Disposition Records	Licensee or registrant’s records showing the receipt, transfer and disposal of all sources of radiation per DHS 157.06(1) DHS 157.06(1) RECORDS. 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.	Date of Termination of the License / Registration Authorizing Possession of the Materials or Radiation Device	Event + 3 Years and Destroy	No	No	A potential security issue may exist with the release of this information. Seek authorization from agency legal counsel before releasing any information.	

WORKER'S COMPENSATION & RELATED RECORDS GRS SUPERSEDED AND CLOSED RDAS

RDA No. (WC GRS)	Series Title	Action Taken	Comments
90300	Workers Compensation Claims Case Files	Renumbered/superseded by RISK0010	Renumbered and superseded by <i>RDA RISK0010- Workers Compensation Claims Case Files</i> of the Risk Management GRS.
90300A	Workers Compensation Claims Case Files – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90300B	Workers Compensation Claims Case Files – Supervisor or Unit Working Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90301	Do Not Use - Per Workers Compensation 1997 GRS	Deleted.	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90301A	Do Not Use - Per Workers Compensation 1997 GRS	Deleted	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90301B	Do Not Use - Per Workers Compensation 1997 GRS	Deleted	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90302	Incidents Reports – No Claims	Renumbered/superseded by RISK0045	Renumbered and superseded by <i>RDA RISK0045 – Incident Reports (Incidents Only, No Lost Time)</i> of the Risk Management GRS.
90302A	Incidents Reports – No Claims – Agency Safety Officer	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90302B	Incidents Reports – No Claims – Management, Safety Committee, and WC Coordinator Working Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90303	Near-Miss Reports	Renumbered/superseded by RISK0046	Renumbered and superseded by <i>RDA RISK0046- Near-Miss Reports</i> of the Risk Management GRS.
90303A	Incidents Reports – No Claims – Agency Safety Officer	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.

WORKER'S COMPENSATION & RELATED RECORDS GRS SUPERSEDED AND CLOSED RDAS

RDA No. (WC GRS)	Series Title	Action Taken	Comments
90304	WCCS Worker's Compensation Claims Files (Electronic Data)	Closed/Deleted. Now included in RDA RISK0010	This rda covered the workers compensations records contained in DOA's RMIS workers compensation database. These records are now covered under RDA RISK0010- Workers Compensation Claims Case Files . This new rda covers records in all formats.
90305	Do Not Use - Per Workers Compensation 1997 GRS	Deleted	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90306	WCCS Incident Reports (Incidents only, no claims, no lost time) – Electronic Data	Closed/Deleted	This rda covered the workers compensations records contained in DOA's RMIS workers compensation database. These records are now covered under RDA RISK0045 – Incident Reports (Incidents Only, No Lost Time) . This new rda covers records in all formats.
90307	WCCS Near-Miss Data Files – Electronic Data	Closed/Deleted	This rda covered the workers compensations records contained in DOA's RMIS workers compensation database. These records are now covered under RDA RISK0046- Near-Miss Reports . This new rda covers records in all formats.
90308	WCCS Output Reports	Renumbered/superseded by RISK0001	Renumbered and superseded by RDA RISK0001- RMIS Output Reports of the Risk Management GRS.
90308A	WCCS Output Reports – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90308B	WCCS Output Reports – Supervisor or Unit Working Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90309	Statewide WC Policies	Renumbered/superseded by RISK0011	Renumbered and superseded by RDA RISK0011 – State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records of the Risk Management GRS.
90309A	WCCS Output Reports – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90310	WC Procedures and Procedural Correspondence	Superseded by RISK0011	Superseded by RDA RISK0011 – State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records of the Risk Management GRS.

WORKER'S COMPENSATION & RELATED RECORDS GRS SUPERSEDED AND CLOSED RDAS

RDA No. (WC GRS)	Series Title	Action Taken	Comments
90310A	WC Procedures and Procedural Correspondence – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90311	WC Committee Meeting Minutes	Closed – Series Obsolete	
90311A	WC Committee Meeting Minutes – Committee Member Copy	Closed – Series Obsolete	

Revision History

A listing of changes to this GRS.

Revision Date	RDA Number	Record Series Title	Revision Made
Monday, 8-24-2015	RISK0011	State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records	Clarifying note regarding procedures added to Use Case/Examples.
Monday, 8-24-2015	RISK0016	State Government Property & Liability Guidelines, Procedures, Policies and Other Related Records	Clarifying note regarding procedures added to Use Case/Examples.