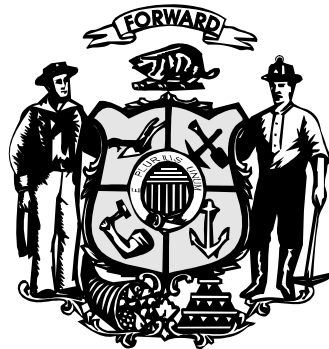


**General Records Schedule
Risk Management & Related Records**

February 25, 2013



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For Use By

State of Wisconsin Government Agencies

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 <http://publicrecordsboard.wi.gov/docview.asp?docid=16116&locid=165>, 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 (Risk Mgt Info System)	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	§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. Agencies that receive authorization from DOA's BSRM may secure coverage for specific business purposes on their own.	Date Bid is Closed	Event + 7 Years Destroy	No	No	Example: Owner Controlled Insurance Program (OCIP). Insurance services for these projects are placed by private negotiation and competitive bid. Official File: Agency handling the request for bid/proposal.	
RISK0003	Risk Management Conferences Materials	DOA's Annual Risk Management Conference publications and materials. Records series may include comprehensive, original materials documenting planning for Risk Management conferences as well as original conference hand-outs.	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.	DOA Record Not for Use for UW

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 entered in the system originates from the official</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>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		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	Note: Files contained in this records series represent materials that are not contained in the Property and/or Liability Claim Files RDAs: RISK0026 & RISK0036.	
RISK0016	State Government Property & Liability Guidelines, Procedures, Policies and Other Related Records	Records include property and liability program guidelines, procedures, policies and other related records for managing property and liability claims per §16.865, 20.865, 896.82 and 895.46 Wis. Stats.	Superseded	Event + 7 Years and Destroy	No	No	Examples: delegation agreements, Property and Liability Manual.	
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	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. Files may contain complete property investigations and supporting documentation.	Date Claim is Closed	Event + 25 Years and Transfer to WHS	Yes	No	For use at the State Level	
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	
<u>RISK0036</u>	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 §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	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. Files may contain complete liability investigations and supporting documentation.	Date Claim is Closed	Event + 25 Years and Transfer to WHS	Yes	Yes §146.82 Wis. Stats. (Medical Records) §51.30 Wis. Stats. (Mental Health Care & Treatment Records)	For use At the State Level	
RISK0038	Liability Incident and Denial Documentation – 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 + 11 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)	Note: There is a potential that a claim may be filed many years later.	
RISK0039	Volunteer Health Care Program (VHCP)	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. 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. Claims generated from this program are handled by the liability program and the files are covered within RDA RISK0036 .	Date BSRM Approves or Denies the Application	Event + 25 Years and Destroy Confidential	Yes	No	For Use at the State Level	

UW-Madison has opted out of the rest of the schedule: See Occupational Health, Facility Planning and Emergency Management records schedules on the UW-Madison Records Management Website.