

165-SAFETY & PROFESSIONAL SERVICES

RDA #	RDA Title	Retention	Disposition	PII
<u>00001A00.</u>	<u>AUDIOTAPES OF BOARD, COUNCIL, & COMMITTEE MEETINGS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
	<p>Regulatory boards, councils, and committees attached to the Department of Regulation and Licensing are created under Chapter 15, Wis. Stats., for the regulation of occupations and professions and other activities under Chapter 157 and 440-480, Wis. Stats.</p> <p>Series includes audiotapes made of board, council & committee meetings.</p> <p>Retain 90 days after closed and destroy, provided summary minutes have been written and approved. "Closed" means the date of meeting.</p>			
<u>00011000.</u>	<u>LICENSING-RELATED CARD FILES</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
	<p>THESE ARE CARDS FILES WHICH WERE CREATED BEFORE LICENSING INFORMATION RELATING TO CHAPTER 157-AND 440-480, WIS. STATS., WAS ENTERED INTO THE DEPARTMENT'S COMPUTER SYSTEM. THEY CONTAIN BASIC LICENSING INFORMATION SUCH AS NAME, ADDRESS, LICENSE TYPE AND DATE GRANTED, DATES OF LICENSING TRANSACTIONS, EXAM SCORES, NAMES OF SCHOOLS, NAMES OF EMPLOYERS (IN SOME CASES).</p> <p>RETAIN UNTIL OUTDATED OR CLOSED AND DESTROY. "CLOSED" MEANS INFORMATION HAS BEEN ENTERED INTO THE COMPUTER SYSTEM IN COMPLIANCE WITH THE DEPARTMENT'S MINIMAL STANDARDS PERTAINING TO CREDENTIAL HOLDER COMPUTER RECORDS. "OUTDATED" MEANS THE CARDS WERE CREATED BEFORE JANUARY 1, 1970 AND THE CREDENTIAL HOLDER HAS NEVER RENEWED THE CREDENTIAL ON OR AFTER JANUARY 1, 1970.</p> <p>EVENT = CLOSED + 5 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)</p>			
<u>00014000.</u>	<u>LICENSING CASE FILES - ROUTINE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	<p>SERIES INCLUDES ROUTINE DOCUMENTS RECEIVED OR GENERATED DURING THE LICENSING PERIOD FOR PROFESSIONS AND OCCUPATIONS REGULATED UNDER CHAPTERS 157- AND 440-480, WIS. STATS.</p> <p>SERIES INCLUDES CORRESPONDENCE, TEMPORARY PERMITS, AND OTHER ITEMS OF A ROUTINE, ADMINISTRATIVE NATURE. SERIES DOES NOT INCLUDES ANY DOCUMENTS WITH A RECEIPT FOR PAYMENT.</p> <p>RETAIN 3 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE DATE OF RECEIPT BY THE DEPARTMENT.</p>			
<u>00015000.</u>	<u>PRELICENSE EDUCATION FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
	<p>THE DEPARTMENT LICENSES CERTAIN SCHOOL OR APPROVES SCHOOLS, EDUCATIONAL PROGRAMS, COURSES AND INSTRUCTORS TO PROVIDE EDUCATION RELATING TO OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.</p> <p>SERIES INCLUDES APPLICATIONS FOR SCHOOL APPROVAL, APPLICATIONS FOR APPROVAL OF INSTRUCTIONS, COURSE OUTLINES, INFORMATION ABOUT SCHOOL POLICIES AND PROCEDURES, CERTIFICATES OF APPROVAL, LISTS OF APPROVED SCHOOLS AND PROGRAMS, AND CORRESPONDENCE WITH SCHOOLS.</p> <p>RETAIN 2 YEARS AFTER CLOSED AND DESTROY PROVIDED SUPERSEDES BY NEW APPROVAL DATA. "CLOSED" MEANS AFTER SCHOOL RENEWAL OR AFTER REAPPROVAL OF SCHOOLS, PROGRAMS, COURSES AND INSTRUCTORS OR CLOSING OF SCHOOL OR DISCONTINUATION OF A PROGRAM.</p>			
<u>00016000.</u>	<u>CONTINUING EDUCATION FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
	<p>THE DEPARTMENT APPROVES CONTINUING EDUCATION PROGRAMS - SCHOOLS, PROGRAMS AND CURRICULA - FOR OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 157-AND 440-480, WIS. STATS.</p> <p>SERIES INCLUDES APPLICATIONS FOR APPROVAL; LISTS OR CERTIFIED OF COMPLETION OF CONTINUING EDUCATION; LISTS OF APPROVED SCHOOLS AND PROGRAMS; CORRESPONDENCE WITH SCHOOLS, ORGANIZATIONS AND LICENSEES; AND EVALUATION MATERIALS.</p> <p>RETAIN 2 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS SUPERSEDED BY NEW APPROVAL DATA OR CLOSURE OF SCHOOL PRGORAM.</p>			
<u>00017000.</u>	<u>DEPARTMENTAL AUDIT AND INSPECTION NONCONFIDENTIAL REPORTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	<p>RECORDS PERTAIN TO DEPARTMENT STAFF INSPECTIONS AND AUDITS OF PROFESSIONS AND OCCUPATIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS., BY THE DEPARTMENT AND ITS ATTACHED BOARDS, FOR COMPLIANCE WITH STATUTES AND RULES GOVERNING THOSE OCCUPATIONS.</p> <p>SERIES INCLUDES CONSENT TO EXAMINE AND AUDIT FORMS, AS REQUIRED FOR CERTAIN PROFESSIONS, AND AUDIT REPORTS AND FINDINGS. SERIES DOES NOT INCLUDES CONFIDENTIAL FINANCIAL REPORTS OF CEMETERY AUTHORITIES AND PRENEED SELLERS AS DESCRIBED IN SS. 157.62(2)(C) AND 440.92(6)(D), WIS. STATS. (SEE RDA</p>			

#165-00080)

RETAIN 5 YEARS AFTER CLOSED AND DESTROY. CLOSED MEANS SUMMARY INFORMATION INCLUDING DATE OF AUDIT OR INSPECTION, PERSON WHO PERFORMED AUDIT, ACCOUNT NUMBERS, BANK NAME, ANY VIOLATION DISCOVERED AND CITATION OF VIOLATION ARE ENTERED INTO DATA SYSTEM.

<u>00018000.</u>	<u>BUR/DEPT. DISCIPLINARY MONITORING CASE FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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THESE RECORDS CONSIST OF DISCIPLINARY MONITORING FILES FOR CREDENTIAL HOLDERS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS., AGAINST WHOM A BOARD OR THE DEPARTMENT HAS TAKEN FORMAL DISCIPLINARY ACTIONS.

SERIES INCLUDES MONITORING REPORTS RECEIVED FROM TREATMENT PROVIDERS, THERAPISTS AND WORK SUPERVISORS REQUIRED PURSUANT TO BOARD ORDERS; CORRESPONDENCE RELATING TO ACTION TAKEN AGAINST A CREDENTIAL HOLDER; OTHER DOCUMENTS RELATING TO DISCIPLINE IMPOSED BY THE BOARD. SOME OF THESE MATERIALS ARE CONFIDENTIAL UNDER CHAPTER 146, WIS. STATS.

RETAIN 7 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE DATE ON WHICH ANY MONITORING REQUIRED BY THE BOARD ORDER EXPIRES.

<u>00019000.</u>	<u>DISCIPLINARY/FORMAL HEARING FILES-MEDICAL EXAMINING BOARD</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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THIS RDA IS SIMILAR TO RDA #00022, BUT THE STATE HISTORICAL SOCIETY HAS REQUESTED THAT THE CASE FILES OF THIS BOARD BE TRANSFERRED TO IT BEFORE POSSIBLE DESTRUCTION.

SERIES INCLUDES OFFICIAL COPY OF RECORDS OF THE MEDICAL EXAMINING BOARD WHICH DOCUMENT THE DISCIPLINARY/FORMAL HEARING PROCESS INVOLVING LICENSEES REGULATED UNDER CHAPTER 448, WIS. STATS., AND MED 1-19, WIS. ADM. CODE.

SERIES INCLUDES BOARD'S DISCIPLINARY/HEARING FILE WHILE WHICH INCLUDES, BUT IS NOT LIMITED TO, FORMAL COMPLAINT LICENSEE'S ANSWER TO THE COMPLAINT, POLICE REPORTS, INTERROGATORIES, DEPOSITIONS, EXHIBITS, TRANSCRIPTS, MOTIONS, BRIEFS, OBJECTIONS, ATTORNEY NOTES, PROPOSED DECISION, FINAL DECISION AND ORDER, CORRESPONDENCE AND MONITORING REPORTS PURSUANT TO ORDER, AND CONFIDENTIAL TREATMENT RECORDS PROTECTED BY CHAPTER 146, WIS. STATS.

RETAIN 10 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY. "CLOSED" MEANS DATE OF FINAL DECISION AND ORDER OR COMPLETION OF THE APPEAL PROCESS.

<u>00020000.</u>	<u>DISCIPLINARY/FORMAL HEARING FILES-PRIVATE DETECTIVES & PRIVATE SECURITY PERSONS</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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THIS RDA IS SIMILAR TO RDA #00022, BUT THE STATE HISTORICAL SOCIETY HAS REQUESTED THAT THE CASE FILES OF THIS BOARD BE TRANSFERRED TO IT BEFORE POSSIBLE DESTRUCTION.

SERIES INCLUDES OFFICIAL COPY OF RECORDS WHICH DOCUMENT THE DISCIPLINARY/FORMAL HEARING PROCESS FOR THE DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES WHICH DIRECTLY LICENSES PRIVATE DETECTIVES AND PRIVATE SECURITY PERSONS REGULATED UNDER CHAPTER 440, SUBCHAPTER II, WIS. STATS., AND CHAPTERS RL 30-35, WIS. ADM CODE.

SERIES INCLUDES DEPARTMENT'S FILE INCLUDING, BUT NOT LIMITED TO, FORMAL COMPLAINT, CREDENTIAL HOLDER'S ANSWER TO THE COMPLAINT, INTERROGATORIES, DEPOSITIONS, EXHIBITS, TRANSCRIPTS, MOTIONS, BRIEFS, OBJECTIONS, ATTORNEY NOTES, PROPOSED DECISION, FINAL DECISION AND ORDER, CORRESPONDENCE AND MONITORING REPORTS PURSUANT TO ORDER AND CONFIDENTIAL TREATMENT RECORDS PROTECTED BY CHAPTER 146, WIS. STATS.

RETAIN 10 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY.

<u>00021000.</u>	<u>DISCIPLINARY/FISCAL HEARING FILES/NURSING HOME ADMINISTRATORS</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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THIS RDA IS SIMILAR TO RDA #00022, BUT THE STATE HISTORICAL SOCIETY HAS REQUESTED THAT THE CASE FILES OF THIS BOARD BE TRANSFERRED TO IT BEFORE POSSIBLE DESTRUCTION.

SERIES INCLUDES OFFICIAL COPY OF RECORDS OF THE NURSING HOME ADMINISTRATOR EXAMINING BOARD WHICH DOCUMENT THE DISCIPLINARY/FORMAL HEARING PROCESS INVOLVING LICENSEES REGULATED UNDER CHAPTER 456, WIS. STATS.

SERIES INCLUDES BOARD'S DISCIPLINARY/HEARING FILE WHILE WHICH INCLUDES, BUT IS NOT LIMITED TO, FORMAL COMPLAINT LICENSEE'S ANSWER TO THE COMPLAINT, POLICE REPORTS, INTERROGATORIES, DEPOSITIONS, EXHIBITS, TRANSCRIPTS, MOTIONS, BRIEFS, OBJECTIONS, ATTORNEY NOTES, PROPOSED DECISION, FINAL DECISION AND ORDER, CORRESPONDENCE AND MONITORING REPORTS PURSUANT TO ORDER, AND CONFIDENTIAL TREATMENT RECORDS PROTECTED BY CHAPTER 146, WIS. STATS.

RETAIN 10 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY. "CLOSED" MEANS DATE OF FINAL DECISION AND ORDER OR COMPLETION OF THE APPEAL PROCESS.

<u>00021A00.</u>	<u>ALL DISCIPLINARY-FORMAL HEARING FILES-OTHER THAN MEDICAL, PRIVA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>SERIES INCLUDES OFFICIAL COPY OF RECORDS WHICH DOCUMENT THE DISCIPLINARY/FORMAL HEARING PROCESS INVOLVING LICENSEES REGULATED UNDER CHAPTERS 157 AND 440 TO 480, WIS. STATS., EXCEPT NOTED ABOVE.</p> <p>SERIES INCLUDES BOARD'S DISCIPLINARY/HEARING FILE WHILE WHICH INCLUDES, BUT IS NOT LIMITED TO, FORMAL COMPLAINT LICENSEE'S ANSWER TO THE COMPLAINT, POLICE REPORTS, INTERROGATORIES, DEPOSITIONS, EXHIBITS, TRANSCRIPTS, MOTIONS, BRIEFS, OBJECTIONS, ATTORNEY NOTES, PROPOSED DECISION, FINAL DECISION AND ORDER, CORRESPONDENCE AND MONITORING REPORTS PURSUANT TO ORDER, AND CONFIDENTIAL TREATMENT RECORDS PROTECTED BY CHAPTER 146, WIS. STATS.</p> <p>EVENT = CLOSED + 10 YEARS AND DESTROY CONFIDENTIAL.</p>			
<u>00022000.</u>	<u>DOE DISCIPLINARY/HEARING CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>SERIES INCLUDES OFFICIAL RECORDS WHICH DOCUMENTS THE DISCIPLINARY/FORMAL HEARING PROCESS FOR CREDENTIAL HOLDERS UNDER CHAPTERS 157 AND 440-480, WIS. STATS. FILES ARE MAINTAINED IN THE DIVISION OF ENFORCEMENT.</p> <p>SERIES INCLUDES THE DIVISION OF ENFORCEMENT'S FILE INCLUDING, BUT NOT LIMITED TO, FORMAL COMPLAINT, RESPONDENT'S ANSWER TO THE COMPLAINT, INTERROGATORIES, DEPOSITIONS, EXHIBITS, TRANSCRIPTS, MOTIONS, BRIEFS, OBJECTIONS, ATTORNEY NOTES, PROPOSED DECISION, FINAL DECISION AND ORDER, CORRESPONDENCE AND MONITORING REPORTS PURSUANT TO ORDER AND CONFIDENTIAL TREATMENT RECORDS PROTECTED BY CHAPTER 146, WIS. STATS.</p> <p>RETAIN 10 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS DATE OF FINAL DECISION AND ORDER OF COMPLETION OF APPEAL PROCESS, IF APPEALED.</p>			
<u>00041000.</u>	<u>PHONE LOG & EMPLOYEE CALENDARS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
	<p>Series includes spiral bound phone message books that log all incoming telephone calls received in the Division of Enforcement relating to complaints made against credential holders or candidates for professions and occupations regulated under Chapters 157 and 440-480, Wis. Stats.</p> <p>Series also includes employee calendars that document meeting appointments, speaking engagements, and other commitments.</p> <p>Retain 3 years after closed and destroy. "Closed" means the end of the calendar year.</p>			
<u>00042000.</u>	<u>INFORMAL COMPLAINTS NOT INVESTIGATED</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	<p>SERIES INCLUDES COMPLAINTS RECEIVED AGAINST LICENSEES REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS., WHICH ARE SCREENED AND NOT OPENED BECUASE THEY DO NOT MEET THE CRITERIA ESTABLISHED BY RL 2.035, WIS. ADMIN. CODE, FOR DETERMINING WHETHER AN INVESTIGATIVE FILE SHOULD BE OPENED OR CLOSED.</p> <p>SERIES INCLUDES THE WRITTEN COMPLAINT AGAINST THE LICENSEE AND A COMPUTER PRINTOUT OF LICENSEE'S LICENSING RECORDS.</p> <p>RETAIN 5 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE CASE HAS BEEN SCREENED AND DETERMINED THAT AN INVESTIGATION WILL NOT BE COMMENCED.</p>			
<u>00043000.</u>	<u>BIENNIAL LICENSING RENEWAL APPLICATIONS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
	<p>SERIES INCLUDES RENEWAL APPLICATIONS FOR CERTIFICATION OF PROFESSIONS AND OCCUPATIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.</p> <p>RENEWAL APPLICATIONS ARE SENT BY THE DEPARTMENT OF CREDENTIAL HOLDERS ON A SCHEDULED, BIENNIAL BASIS. CREDENTIAL HOLDERS RETURN RENEWAL APPLICATIONS WITH PAYMENTS WHICH ARE RECEIPTED IN THE RENEWAL OFFICE OF THE DEPARTMENT OR THROUGH THE LOCKBOX IN MILWAUKEE. SOME PROFESSIONS ARE REQUIRED EXECUTE AN AFFIDAVIT ON THE REVERSE SIDE OF THE RENEWAL APPLICATION VERIFYING THE COMPLETION OF REQUIRED CONTINUING EDUCATION CREDITS, SOCIAL SECURITY NUMBER, INFORMATION REGARDING CONVICTIONS, NAME OF IMMEDIATE SUPERVISOR, ETC. RENEWAL APPLICATIONS ARE RETAINED IN THE RENEWAL OFFICE OF THE DEPARTMENT.</p> <p>RETAIN 4 FISCAL YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE DATE OF RECEIPT.</p>			
<u>00064000.</u>	<u>INCOMPLETE, WITHDRAWN LICENSING CASE FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
	<p>SERIES INCLUDES INCOMPLETE OR WITHDRAWN LICENSING CASE FILES FOR APPLICANTS FOR LICENSURE PURSUANT TO CHPT.163 & 440-459, WIS.STATS.</p> <p>FILES INCLUDES PARTIAL INFORMATION AND MATERIALS WHICH DO NOT FULFILL REQUIREMENTS FOR LICENSURE.</p>			

EVENT = APPLICANT'S RIGHT TO A HEARING OR COURT REVIEW HAS TERMINATED + 4 YEARS AND DESTROY CONFIDENTIAL.

00082000.	<u>AUCTIONEER AND AUCTION COMPANY LICENSING FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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LICENSING CASE FILES CONTAIN ALL MATERIALS AND INFORMATION REQUIRED BY THE DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES (CHAPTER 480, WIS. STATS.), FOR PERSONS TO REQUEST A REGISTRATION TO PRACTICE AS AN AUCTION COMPANY OR AUCTIONEER IN THE STATE OF WISCONSIN.

THE FILES INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING ITEMS: 1) COMPLETED AND SIGNED APPLICATION; 2) PROOF OF EXPERIENCE; 3) ARREST/CONVICTION RECORDS; 4) EVIDENCE OF HOLDING A SALES TAX PERMIT; 5) CORPORATE NAME AND/OR STRUCTURE CHANGE NOTICES; 6) TRADE NAME REGISTRATION NOTICES; 7) COPIES OF CERTIFICATES OF LICENSURE TO OTHER PARTIES; 8) NOTICES OF DECEASED STATUS; 9) APPLICANT EXAM SCORE REPORTS; 10) SIGNIFICANT CORRESPONDENCE CONCERNING SATISFACTORY COMPLETION OF REQUIREMENTS.

RETAIN ALL ITEMS TOGETHER OR ANY ITEM SEPARATELY; RETAIN COMPLETE FILE OR ANY SEPARATE ITEM FOR 5 YEARS AFTER ALL ITEMS OR ANY SEPARATE ITEM HAS BEEN PROCESSED, THEN DESTROY, PROVIDED ESSENTIAL INFORMATION IS ENTERED INTO THE COMPUTER SYSTEM IN COMPLIANCE WITH THE DEPARTMENT'S MINIMAL STANDARDS PERTAINING TO CREDENTIAL HOLDER COMPUTER RECORDS.

EVENT = ENTERED INTO DATA SYSTEM + 5 YEARS AND DESTROY CONFIDENTIAL.

00085000.	<u>DENIED APPLICATION FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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DENIED APPLICATION FILES CONTAIN ALL APPLICATION MATERIALS RELATING TO THE GRANTING OF A CREDENTIAL BY THE DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES AND ONE OF ITS BOARDS OR EXAMINING BOARDS PURSUANT TO CHAPTERS 157 AND 440-480, WIS. STATS. THE FILES ALSO CONTAIN MATERIALS WHICH DOCUMENT THE DENIAL OF AN APPLICATION FOR A CREDENTIAL.

THE FILE INCLUDES SOME OR ALL OF THE FOLLOWING ITEMS: 1) COMPLETED AND SIGNED APPLICATION; 2) DOCUMENTATION OF QUALIFICATIONS, INCLUDING PROOF OF EDUCATION AND EXPERIENCE; 3) COPY OF MALPRACTICE COMPLAINT(S); 4) COPY OF CRIMINAL RECORDS REPORTS AND RELEVANT COURT JUDGMENTS; 5) DRUG TREATMENT EVIDENCE; 6) VERIFICATION OF LICENSURE FROM OTHER STATES; 7) APPLICANT'S PHOTO; 8) APPLICANT TESTING/EXAM MATERIALS UNLESS HELD BY THE EXAM PROVIDER; 9) CORRESPONDENCE CONCERNING APPLICATION MATERIALS AND OTHER DOCUMENTATION; 10) NOTICE OF EXAMINATION FAILURE; 11) NOTICE OF INTENT TO DENY; 12) NOTICE OF DENIAL; 13) CLASS 1 HEARING INFORMATION MATERIALS.

RETAIN 4 YEARS AFTER DATE OF DENIAL AND DESTROY, PROVIDED THAT THE APPLICANTS' RIGHT TO A HEARING OR COURT REVIEW HAS TERMINATED.

00086000.	<u>SOCIAL SECURITY NUMBER SLIPS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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1997 WIS. ACT 19 AND 1997 WIS. ACT 237 REQUIRE THE DEPARTMENT TO OBTAIN SOCIAL SECURITY NUMBERS TO DETERMINE WHETHER CREDENTIAL HOLDERS AND NEW APPLICANTS FOR LICENSURE ARE TAX DELINQUENT AND/OR IN ARREARS ON CHILD SUPPORT PAYMENTS. THESE ACTS GRANT THE DEPARTMENT THE AUTHORITY TO REQUIRE APPLICANTS TO PROVIDE THEIR SOCIAL SECURITY NUMBER OR FEDERAL IDENTIFICATION NUMBER SOLELY FOR THESE PURPOSES.

FORMS WITH SOCIAL SECURITY NUMBERS OR FEDERAL IDENTIFICATION NUMBERS WILL NOT BE FILED WITH OTHER APPLICATION MATERIALS AND WILL NOT BE AVAILABLE TO THE PUBLIC.

RETAIN 1 YEAR AFTER COMPUTER MATCHING IS ACCOMPLISHED; THEN DESTROY.

00091000.	<u>MUSIC, ART AND DANCE THERAPY CERTIFICATION CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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CERTIFICATION CASE FILES CONTAIN ALL MATERIALS AND INFORMATION REQUIRED BY THE DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES (CHAPTER 440, WIS. STATS.), FOR INDIVIDUALS TO REQUEST CERTIFICATION TO PRACTICE AS A MUSIC, ART OR DANCE THERAPIST.

THE FILE INCLUDES BUT IS NOT LIMITED TO THE FOLLOWING ITEMS: 1) COMPLETED AND SIGNED APPLICATION; 2) DOCUMENTATION OF QUALIFICATIONS, INCLUDING PROOF OF COMPLETION OF AN APPROVED MUSIC, ART OR DANCE THERAPY PROGRAM; 3) ARREST/CONVICTION/MALPRACTICE MATERIALS; 4) VERIFICATION OF CREDENTIALS FROM ANOTHER STATE; 5) SIGNIFICANT CORRESPONDENCE PROVIDING EVIDENCE OF QUALIFICATIONS; 6) NOTIFICATION OF DENIAL OF CREDENTIAL.

RETAIN 5 YEARS AFTER DATE OF CERTIFICATION AND DESTROY PROVIDED ESSENTIAL INFORMATION IS ENTERED INTO THE COMPUTER SYSTEM IN COMPLIANCE WITH THE DEPARTMENT'S MINIMAL STANDARDS PERTAINING TO CREDENTIAL HOLDER COMPUTER RECORDS.

00092000.	<u>CONTROLLED SUBSTANCES BOARD SPECIAL USE AUTHORIZATION CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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CONTROLLED SUBSTANCES BOARD SPECIAL USE AUTHORIZATION CASE FILES INCLUDE ALL MATERIALS REQUIRED BY THE CONTROLLED SUBSTANCES BOARD TO ISSUE SPECIAL USE AUTHORIZATIONS PURSUANT TO CHAPTER 961.335.

RDA #	RDA Title	Retention	Disposition	PII
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STATS.

FILES INCLUDE BUT ARE NOT LIMITED TO: 1) NEW AND RENEWAL APPLICATIONS; 2) RESEARCH PROTOCOLS; 3) DOG TRAINER CHECKLISTS; 4) LETTERS FROM SHERIFFS; 5) CERTIFICATES OF COMPLETION OF REQUIRED TRAINING/COURSEWORK; 6) ASSOCIATION MEMBERSHIP CERTIFICATES; 7) SIGNIFICANT CORRESPONDENCE CONCERNING SATISFACTORY COMPLETION OF REQUIREMENTS.

RETAIN FIVE (5) YEARS AFTER CLOSED THEN DESTROY. CLOSED MEANS THE SPECIAL USE AUTHORIZATION HAS EXPIRED AND FAILED TO BE RENEWED.

Dept #: /014/ Department Name: ENFORCEMENT, DIVISION OF (DOE)

RDA #	RDA Title	Retention	Disposition	PII
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<u>00024000.</u>	<u>COMPLAINT LOG</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>Record Series Is Maintained In The Divison Of Enforcement And Is A Log Of All Complaints Received By The Division Or Boards Against Licensees Or Candidates For Professions And Occupations Regulated Under Chapters 163 And 440-459, Wis. Stats. Information On The Complaint Log Is Maintained On Index Cards Or Other Paper Records Until Entered Into The Perpetual Licensing And Discipline Computer File (See Rda #00028).</p>				

Retain Until Closed And Destroy. "Closed" Means Data Is Entered Into The Data System (Rda#00028) And Verified.

<u>00025000.</u>	<u>INFORMAL COMPLAINTS CASE FILES - ROUTINE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
<p>The Division receives complaints from a variety of sources against credential holders regulated under Wis. Stat. chaps. 101, 145, 157, and 440-480. These complaints fall under the jurisdiction of the department or an attached board.</p> <p>These complaints are logged, screened and when appropriate investigated.</p> <p>These series includes complaints, investigative reports, correspondence and other information such as health care or business records collected during the investigation.</p> <p>Box 16: Wis. Stat. § 146.82 and Wis. Stat. § 51.30</p> <p>EVENT = Closed + 5 Years</p>				

<u>00026000.</u>	<u>INFORMAL COMPLAINTS CASE FILES - ROUTINE - HOLD STATUS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
<p>The Division receives complaints from a variety of sources against credential holders regulated under Wis. Stat. chaps. 101, 145, 157, and 440-480. These complaints fall under the jurisdiction of the department or an attached board.</p> <p>These complaints are logged, screened and when appropriate investigated.</p> <p>These series includes complaints, investigative reports, correspondence and other information such as health care or business records collected during the investigation.</p> <p>This series differs from RDA 25 in that complaints and related materials involve credential holders whose credentials are expired and flagged in the computer system for review if the credential holder attempts to renew the credential.</p> <p>Box 16: Wis. Stat. § 146.82 and Wis. Stat. § 51.30</p> <p>EVENT = Closed + 10 Years</p>				

<u>00027000.</u>	<u>DOE'S/FORMAL HEARING CASE FILES-MEDICAL, NURSING HOME ADMINIST</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
<p>RECORDS DOCUMENT THE INVESTIGATIVE AND FORMAL HEARING PROCESS CONDUCTED AGAINST CREDENTIAL HOLDERS REGULATED UNDER CHAPTER 448 (MEDICAL EXAMINING BOARD), CHAPTER 456 (NURSING HOME ADMINISTRATOR EXAMINING BOARD) CHAPTER 440.26 (PRIVATE DETECTIVES). WIS. STATS. RECORD SERIES IS MAINTAINED IN THE DIVISION OF ENFORCEMENT. IT DUPLICATES MUCH OF THE INFORMATION CONTAINED IN THE OFFICIAL RECORD FOR DISCIPLINARY/FORMAL HEARING CASE FILES MAINTAINED BY BUREAU STAFF ON BEHALF OF BOARDS AND THE DEPARTMENT WHICH ARE COVERED BY RDA #165-00019, 00020 AND 00021.</p> <p>SERIES INCLUDES, BUT IS NOT LIMITED TO, INVESTIGATE REPORTS, DOCUMENTARY EVIDENCE, FORMAL COMPLAINT, CREDENTIAL HOLDER'S ANSWER TO THE COMPLAINT, INTERROGATORIES, DEPOSITIONS, EXHIBITS, TRANSCRIPTS, MOTIONS, BRIEFS, OBJECTIONS, ATTORNEY NOTES, PROPOSED DECISION, FINAL DECISION AND ORDER,</p>				

Dept #: /014/ Department Name: ENFORCEMENT, DIVISION OF (DOE)

RDA # RDA Title Retention Disposition PII

CORRESPONDENCE AND MONITORING REPORTS RECEIVED PURSUANT TO ORDER, AND CONFIDENTIAL TREATMENT RECORDS PROTECTED BY CHAPTER 146, WIS. STATS.

RETAIN 10 YEARS AFTER CLOSED AND TRANSFER TO THE STATE HISTORICAL SOCIETY. "CLOSED" MEANS DATE OF FINAL DECISION AND ORDER OR COMPLETION OF THE APPEAL PROCESS.

Dept #: /101/ Department Name: SECRETARY'S OFFICE

RDA # RDA Title Retention Disposition PII

00004000. LEGISLATIVE FILES EVT+4 SHSW Y

RECORDS DOCUMENT THE LEGISLATIVE PROCESS FOR ISSUES AFFECTING THE DEPARTMENT, BOARDS OR COUNCIL CREATED UNDER CHAPTER 15, WIS. STATS., AND RELATING TO REGULATION OF PROFESSIONS OR OCCUPATIONS UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES DRAFTS OF BILLS, TESTIMONY, FISCAL NOTES AND ORIGINAL CORRESPONDENCE RELATED TO PROPOSED LEGISLATION OR ENACTED LEGISLATION.

RETAIN 4 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY FOR PRESERVATION. "CLOSED" MEANS END OF LEGISLATIVES SESSION.

00005000. OPINIONS OF ATTORNEY GENERAL EVT+5 SHSW Y

RECORDS DOCUMENT FORMAL AND INFORMAL OPINIONS OF THE ATTORNEY GENERAL ADDRESSED TO THE DEPARTMENT AND ANY OF ITS BOARDS OR COUNCILS CREATED UNDER CHAPTER 15, WIS. STATS., AND RELATING TO REGULATION OF OCCUPATIONS AND PROFESSIONS UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES CORRESPONDENCE RELATED TO REQUESTS FOR OPINIONS OF THE ATTORNEY GENERAL.

RETAIN 5 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY FOR PRESERVATION. "CLOSED" MEANS DATE OPINION IS RECEIVED FROM THE ATTORNEY GENERAL.

00006000. ADMINISTRATIVE RULES EVT+4 SHSW N

OFFICIAL COPIES OF ADMINISTRATIVE RULES AND RULES DEVELOPMENT MATERIALS AND FILED CENTRALLY IN THE DEPARTMENT ADMINISTRATIVE RULE CENTER. WORKING COPIES ARE MAINTAINED IN THE DIVISIONS AND BUREAUS.

SERIES INCLUDES DRAFTS OF ADMINISTRATIVE RULES AND FINAL DOCUMENTS, HEARING RECORD TESTIMONY, AUDIO RECORDINGS OF RULES HEARING AND ORIGINAL CORRESPONDENCE FROM LEGISLATORS, CREDENTIAL HOLDERS, PROFESSIONAL ASSOCIATIONS, SOCIETIES AND OTHERS, RELATING TO RULE MAKING BY THE DEPARTMENT AND ITS BOARDS, PURSUANT TO CHAPTERS 157 AND 440-480, WIS. STATS.

RETAIN 4 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY FOR PRESERVATION. "CLOSED" MEANS EFFECTIVE DATE OF THE ADMINISTRATIVE RULE.

00031000. IMPAIRED PROFESSIONALS PROCEDURE-ESSENTIAL DOCUMENTS EVT+5 DEST Y

RECORDS DOCUMENT THE MONITORING PROCESS FOR CREDENTIAL HOLDERS WHO HAVE BEEN REFERRED TO THE IMPAIRED PROFESSIONALS PROCEDURE AUTHORIZED BY RL 7, WIS. ADMIN. CODE, DUE TO A CHEMICAL DEPENDENCY WHICH ADVERSELY AFFECTS THE ABILITY TO PRACTICE PROFESSIONS AND OCCUPATIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS. RECORDS ARE PROTECTED BY A PLEDGE OF CONFIDENTIALITY.

SERIES INCLUDES AGREEMENT FOR PARTICIPATION AND ATTACHED STATEMENT OF FACTS; THERAPIST AND WORK SUPERVISOR REPORTING FORMS; NOTIFICATIONS OF DISMISSAL OR DENIAL; LETTER OF COMPLETION.

SERIES INCLUDES MONITORING FORMS; CORRESPONDENCE TO AND FROM TREATMENT PROVIDERS, WORK SUPERVISORS AND CREDENTIAL HOLDERS; APPLICATION FOR PARTICIPATION; CONSENTS FOR RELEASE OF INFORMATION; URINE/BLOOD SCREEN RESULTS; COPY OF ASSESSMENT AND PROGRESS NOTES. RECORDS ARE CLOSED UPON COMPLETION OF THE MONITORING PERIOD.

RETAIN 5 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS DATE OF DISMISSAL OR DENIAL OR DATE OF SUCCESSFUL COMPLETION.

Dept #: /102/ Department Name: BOARD LEGAL SERVICES

RDA # RDA Title Retention Disposition PII

00023000. FINAL DECISIONS AND ORDERS EVT+60 SHSW Y

SERIES CONSISTS OF FINAL DECISIONS, ORDERS, AMENDED ORDERS AND STIPULATIONS THAT RESULT FROM DISCIPLINARY ACTIONS AGAINST CREDENTIAL HOLDERS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

THE OFFICIAL COPY OF THIS SERIES IS MAINTAINED IN THE DEPARTMENT'S OFFICE OF LEGAL SERVICES. IT PROVIDES SUMMARY INFORMATION OF ACTIONS TAKEN RELATIVE SERIES IN RDA'S #19, 20, 21 AND 22.

RETAIN 60 YEARS AND TRANSFER TO STATE HISTORICAL SOCIETY.

EVENT = ENTERED INTO DATA SYSTEM + 60 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

00054000. NATIONAL PRACTITIONER DATA BANK REPORTS EVT+5 DEST Y

TITLE IV OF PUBLIC LAW 99-660, THE "HEALTH CARE QUALITY IMPROVEMENT ACT OF 1986," ESTABLISHED THE NATIONAL PRACTITIONER DATA BANK, AN INFORMATION CLEARINGHOUSE. TITLE IV OF PUBLIC LAW 99-660, WAS LATER AMENDED BY SECTION 402 OF PUBLIC LAW 100-177, "PUBLIC HEALTH SERVICE AMENDMENTS OF 1987." THE PURPOSE OF THIS LEGISLATION IS TO IMPROVE THE QUALITY OF MEDICAL CARE BY ENCOURAGING HEALTH CARE PROVIDERS TO IDENTIFY AND DISCIPLINE THOSE WHO ENGAGE IN UNPROFESSIONAL CONDUCT AND TO RESTRICT AND TO RESTRICT INCOMPETENT HEALTH CARE PROVIDERS' ABILITY TO MOVE FROM STATE TO STATE WITHOUT DISCOVERY. STATE LICENSING BOARDS ARE REQUIRED TO REPORT ADVERSE LICENSURE ACTIONS TO THE NATIONAL PRACTITIONER DATA BANK RELATING TO PRACTITIONERS IN THAT STATE.

SERIES INCLUDES CARBON COPIES SENT BY THE WISCONSIN BOARDS TO THE NATIONAL PRACTITIONER DATA BANK:

1. "ADVERSE ACTION REPORT"
2. "ADDITIONAL INFORMATION"
3. "DISPUTE NOTIFICATION"
4. CORRECTED RESPONSE TO INFORMATION DISCLOSURE REPORT"
5. "INFORMATION REQUEST REJECTION NOTICE"
6. "REPORT REJECTION NOTICE"
7. "REPORT VERIFICATION DOCUMENT"
8. "REQUEST FOR INFORMATION DISCLOSURE"
9. "REPOSENSE TO DISPUTE NOTIFICATION"
10. "RESPONSE TO INFORMATION DISCLOSURE REQUEST"

RETAIN 5 YEARS AFTER DATE OF REPORT AND DESTROY.

00055000. AUDIOTAPES OF HEARING TESTIMONY NOT TRANSCRIBED EVT+10 DEST N

THE DIVISION OF ADMINISTRATIVE SERVICES, OFFICE OF BOARD LEGAL SERVICES CONDUCTS HEARINGS PURSUANT TO CHAPTER RL 2, WIS. ADM. CODE, FOR RESOLUTION OF FORMAL COMPLAINTS AGAINST PROFESSIONALS REGULATED UNDER CHAPTERS 440-459, WIS. STATS.

SERIES INCLUDES AUDIOTAPES OF FORMAL HEARINGS MADE PER CHAPTER RL 2.15(2), WIS. ADM CODE. TAPES ARE NOT TRANSCRIBED.

RETAIN TAPES 10 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE DATE OF THE FINAL DECISION AND ORDER OR COMPLETION OF THE APPEAL PROCESS.

Dept #: /103/ Department Name: MANAGEMENT SERVICES

RDA # RDA Title Retention Disposition PII

00028000. ACTIVE APPLICANT/CREDENTIAL HOLDER/COMPLAINT TRACKING/WORD P EVT DEST

Computer Data Base Records Include Information Relating To Licensing Files And Complaints Made Against Licensees Regulated Under Chapters 163 And 440-459, Wis. Stats. Data Includes Required Licensing Information Such As Name, Address, License Status, Profession, Grant Date, School Attended, Dates Of Attendance, Exam Scores, And License History Events. Complaint Tracking Includes Status Of Complaints Against Licensees, Name Of Attorney And Investigator Assigned, Tracking Of Investigative And Prosecutory Activities, Status Of The Investigation Process, Disciplinary Actions Taken And License And Renewal Status Of Respondents.

This Computer Data Base, Referred To As Systematic Quick Access Data (Squad), Is Updated Continuously From Source Documentation From The Licensing Process And Investigation Process. Data Is Entered Into The System Through On-Line Batch Processing, And Updated Through A Tape-To-Tape Process. Tapes Are Backed Up Daily. Department Entered Licensee Data From 1970 And Forward To This Series.

Dept #: /103/ Department Name: MANAGEMENT SERVICES

RDA # RDA Title Retention Disposition PII

Retain Tapes Until Superseded By 3Rd Generation Of Tape And Erase Oldest Tape.

00029000. INACTIVE LICENSEE COMPUTER DATA BASE RECORDS EVT+60 DEST

Computer Data Base Records Include Information Relating To Licensees Regulated Under Chapters 163 And 440-459, Wis. Stats. Data Include Required Licensing Information Such As Name, Address, License Status, Profession, License Grant Date, School Attended, Dates Of Attendance, Exam Scores, Renewal Status And License History Events.

This Rda Relates To Computer Records Of Deceased And Long-Term Inactive Licensees. Records Will Be Outputted To Tape And Transferred To Computer Output Microfilm (Com) Alphabetically. A "Pointer" Will Be Inserted Into The Data Base Indicating The Date Removed From The System And Referencing The Computer Output Microfilm.

Department Entered Licensee Data From 1970 And Forward To This Series.

Deposit Security Copy Of Com At Shs. Maintain Com Working Copy In Agency For 60 Years And Destroy.

00030000. MASTER COMPUTER FILE-QUARTERLY DATA EVT+2 DEST N

Series Relates To Quarterly Backup Tapes Of The Department Of Regulation & Licensing'S Complete On-Line Software, Including Data Records. The Data Records Consist Of Systematic Quick Access Data (Squad) Licensing Files, Squad Complaint Tracking Cases, And Word Processing Plus. Tapes are used as a backup for documents and data destroyed under other Rda's and provide quarterly reproduction of every document or record that is in the department's computer system.

Retain Tapes 2 Years And Erase Oldest Tape.

Dept #: /104/ Department Name: RENEWAL

RDA # RDA Title Retention Disposition PII

00025000. INFORMAL COMPLAINTS CASE FILES-ROUTINE EVT+5 DEST Y

The Division Of Enforcement Receives And Investigates Complaints From Consumers, Licensees And Others Submitted To The Boards Or Department Against Licensees Regulated Under Chapters 163 And 440-459, Wis.Stats., Which Are Screened, Logged In And Opened For Investigation. For Investigation.

Series Includes Tracking Records, Investigating Reports, Correspondence And Other Information Collected Durring The Course On An Investigation, Including But Not Limited To, Original Complaint, Contiuing Education Certificates, Depositions, Poilice Reports, Physical Evidence Such As X-Rays Or Perscriptions, Audits And Inspection Reports Obtained Durring An Investigation, And The Treatment Records Protected As Confidential Information By Chapter 146, Wis. Stats.

Retain 5 Years After Closed And Destroy. " Closed" Means When The Board Or The Department, Under Authority Granted By Law, Decides That No Formal Prosecutory Action Pursuant To RI 2, Wis Admin. Code, Should Be Commenced Or When No Disiplinary Action Is Stipulated To By Respondent And Accepted By The Board Or The Department.

Dept #: /105/ Department Name: EXAMINATIONS

RDA # RDA Title Retention Disposition PII

00033000. JOB ANALYSIS MATERIALS EVT+1 DEST N

SERIES INCLUDES JOB ANALYSIS MATERIALS GENERATED PRIOR TO DEVELOPMENT OF EXAMINATIONS BY THE DEPARTMENT'S EXAMINATION CENTER FOR OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES COMPLETED SURVEY FORMS, COVER LETTERS TO RECIPIENTS, STATISTICAL ANALYSES CONDUCTED ON SURVEY INFORMATION, AND REPORTS.

RETAIN 1 YEAR AFTER CLOSED AND DESTROY, PROVIDED 3 COPIES OF THE PUBLISHED REPORT ARE SENT TO THE STATE HISTORICAL SOCIETY. "CLOSED" MEANS THE DATE OF PUBLICATION.

00034000. STATE TEST DEVELOPMENT-SUPPORTING DOCUMENTS EVT+5 DEST N

SERIES INCLUDES SUPPORTING DOCUMENTS OF EXAMINATIONS DEVELOPED BY THE DEPARTMENT'S EXAMINATION CENTER FOR OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES TEST SPECIFICATIONS MATERIALS INCLUDING BUT NOT LIMITED TO THE FOLLOWING: CROSS-REFERENCE LISTS WITH ITEM BANK IDENTIFICATION NUMBERS, ITEM ANALYSIS AND CANDIDATE PERFORMANCE STATISTICS SHOWING REELIABILITY AND DIFFICULTY, DATA SUPPORTING ANGOFF PASSING POINT RECOMMENDATIONS SUCH AS LISTS USED IN THE TEST AND THEIR CORRESPONDING ANGOFF DIFFICULTIES; AND ITEM BANK DOCUMENTS INCLUDING ITEM WRITER AND REVIEWER SIGNED STATEMENTS, COMMITTEE REVIEW DOCUMENTS INDICATION DATE OF REVIEW AND SUMMARY OF RATINGS, ITEM WITH CORRESPONDING KEY, AUTHORITY, WRITER AND TASK OR KNOWLEDGE TESTED; AND EXPERT'S SUPPORTING REVIEW OF CHALLENGED QUESTIONS AND MASTER LIST OF CHALLENGED QUESTIONS.

RETAIN 5 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS DATE OF LAST ACTIVE USE OF TEST FORM(S).

00035000. STATE TEST DEVELOPMENT-TEST PRODUCT I-WISCONSIN LAW EXAMS EVT+5 DEST N

SERIES INCLUDES EXAMINATION PRODUCTS DEVELOPED BY THE DEPARTMENT FOR THE FOLLOWING OCCUPATIONS AND PROFESSIONS: ACCOUNTING (CH. 442); ADVANCED PRACTICE NURSE PRESCRIBER (CH. 441); BARRIER-FREE DESIGN (CH. 443); DENTIST, DENTAL HYGIENIST (CH. 447); HOME INSPECTOR (CH. 440); MASSAGE THERAPIST (CH. 440); NURSING HOME ADMINISTRATOR (CH. 456); OCCUPATIONAL THERAPIST, OCCUPATIONAL THERAPIST ASSISTANT, PHYSICIAN, PHYSICIANS ASSISTANT, PODIATRIST, RESPIRATORY CARE PRACTITIONER (CH.448); OPTOMETRIST (CH. 449); PHARMACIST JURISPRUDENCE AND PATIENT CONSULTATION (CH.450); PSYCHOLOGY (CH. 455); REAL ESTATE APPRAISER (CH.458); REAL ESTATE BROKER, REAL ESTATE SALES (CH. 452); SOCIAL WORKER, MARRIAGE AND FAMILY THERAPIST, PROFESSIONAL COUNSELOR (CH.457); VETERINARY TECHNICIAN AND VETERINARIAN (CH. 453).

SERIES INCLUDES FILE COPY OF EXAMINATIONS WITH ANSWER KEY.

RECORDS IN THE PRODUCT I SERIES ARE EXAMINATIONS ON STATE LAWS CURRENT AT THE TIME OF APPLICATION.

RETAIN 5 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS DATE OF LAST ACTIVE USE OF THE EXAMINATION.

00036000. STATE TEST DEVELOPMENT-TEST PRODUCT II-UNIQUE EVT+5 DEST N

SERIES INCLUDES EXAMINATION PRODUCTS DEVELOPED BY THE DEPARTMENT FOR THE FOLLOWING OCCUPATIONS AND PROFESSIONS: AESTHETICIAN PRACTICAL, BARBER/COSMETOLOGIST INSTRUCTOR, MANAGER, PRACTITIONER PRACTICAL, ELECTROLOGIST AND ELECTROLOGY INSTRUCTOR, MANICURIST PRACTICAL AND MANICURIST INSTRUCTOR (CH. 454); CHIROPRACTIC PRACTICAL (CH. 446); DESIGNERS (CH.443); FUNERAL DIRECTORS (CH. 445); HEARING INSTRUMENT SPECIALIST (CH. 459); HYDROLOGIST (CH.470); LAND SURVEYOR (CH.443); OCCUPATIONAL THERAPIST AND OCCUPATIONAL THERAPIST ASSISTANT ORALS, PHYSICAL THERAPIST ORALS, PHYSICIANS ORALS, PHYSICIAN ASSISTANT ORALS, RESPIRATORY CARE PRACTITIONER ORALS (CH.448); PHARMACISTS (CH.450); PRIVATE DETECTIVES (CH. 440); REAL ESTATE BROKER, REAL ESTATE SALES EXAMINATIONS, CE TEST-OUT EXAMINATIONS (CH. 440)

SERIES INCLUDES FILE COPY OF EXAMINATIONS ADMINISTERED ON EACH TEST DATE WITH ANSWER KEY AND ALL ON-SITE TEST INSTRUCTIONS TO CANDIDATES AND EXAMINERS, GRADE SHEETS AND REASON FOR FAILURE SHEETS. RECORDS IN THE PRODUCT II SERIES ARE THOSE DEVELOPED SPECIFICALLY BY THE DEPARTMENT FOR PROFESSIONS LISTED. MATERIALS ARE UNIQUE TO WISCONSIN AND INCLUDE PRACTICAL EXAMINATIONS OF SKILLS AND JOB KNOWLEDGE.

RETAIN 5 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY "CLOSED: MEANS DATE OF LAST ACTIVE USE OF TEST FORM.

00037000. TEST ADMINISTRATION PRODUCTS EVT+1 DEST Y

SERIES INCLUDES PRODUCTS GENERATED BY EXAMINATION FOR CREDENTIALS FOR OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES USED ANSWER SHEET AND OTHER PRODUCTS MADE BY CANDIDATES FOR EXAMINATION PURPOSES SUCH AS EAR MOLDS, CHEMICAL COMPOUNDS, ETC; ATTENDANCE ROSTERS; SCORE TABULATION SHEETS; SCORE ROSTER; AND TEST REVIEW DOCUMENTS, SUCH AS SIGNED SECURITY STATEMENTS AND COMMENTS; SIGNED ADMISSION TICKETS; AND OTHER INSTRUCTIONAL MATERIALS; CORRESPONDENCE.

RETAIN 1 YEAR AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE DATE EXAMINATION IS CONDUCTED.

00038000. STATISTICAL REPORTS AND FORMAL STUDIES OF EXAMS EVT SHSW N

Series Includes Statistical Reports And Formal Studies Of Examinations Developed By The Department For Candidates For Licensure Regulated Under Chapters 440-459, Wi. Stats.

Statistical Reports Include Group Pass Rate Reports An School Pass Rate Reports. Studies Include Studies Of Factors Affecting Pass

Dept #: /105/ Department Name: EXAMINATIONS

RDA # RDA Title Retention Disposition PII

Rates, Group Differences, And Effectiveness Of Testing Methods.

Transfer Official Copy To Shs Library Upon Receipt. May Retain Copies For Reference Purposes Only.

00039000. EXAMINATION CHALLENGES EVT+1 DEST Y

SERIES INCLUDES DOCUMENTS GENERATED AS THE RESULT OF EXAMINATION CHALLENGES BY CANDIDATES FOR CREDENTIALS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES ALL CANDIDATE RECORDS, EXAMINATION RECORDS, CORRESPONDENCE, AND DOCUMENTS SENT IN DISCOVERY PROCESS.

RETAIN 1 YEAR AFTER CLOSED AND DESTROY. "CLOSED" MEANS RESOLUTION OF CHALLENGE.

00040000. CONTRACTS FOR EXAMINATION SERVICES EVT+6 DEST Y

SERIES INCLUDES DOCUMENTS FOR OUTSIDE EXAMINATION SERVICES TO TEST CANDIDATES FOR LICENSURE REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES WINNING CONTRACTOR'S PROPOSAL; CONTRACTS INDICATING EXAM SERVICE, EXAMINERS, PROCTORS, SUBJECT AND READER APPLICATION/CONTRACTS.

RETAIN 6 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS EXPIRATION OF CONTRACT.

00083000. USED TEST BOOKLETS EVT+0/2 DEST Y

SERIES INCLUDES USED TEST BOOKLETS GENERATED BY EXAMINATION FOR PROFESSIONAL CREDENTIALS FOR OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES TEST BOOKLETS USED BY CANDIDATES FOR EXAMINATION PURPOSES. THERE ARE NO ANSWERS RECORDED IN THESE BOOKLETS.

RETAIN 2 MONTHS AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE RELEASE OF TEST RESULTS.

00084000. COMPLETED SURVEY FORMS EVT DEST Y

SERIES INCLUDES COMPLETED SURVEY FORMS WHICH ARE PART OF THE JOB ANALYSIS MATERIALS GENERATED PRIOR TO DEVELOPMENT OF EXAMINATIONS BY THE DEPARTMENT'S EXAMINATION CENTER FOR OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 440-459 AND 480, WIS. STATS.

SERIES INCLUDES COMPLETED SURVEY FORMS.

RETAIN UNTIL CLOSED AND DESTROY. "CLOSED" MEANS THE APPROVAL BY THE REGULATORY AUTHORITY OF THE COMPLETED JOB ANALYSIS AND STATISTICAL ANALYSES (SEE RDA #33) OF SURVEY INFORMATION.

00093000. EXAM MODIFICATION RECORDS EVT+6 DEST Y

SERIES INCLUDES RECORDS ASSOCIATED WITH MODIFICATIONS UNDER THE AMERICANS WITH DISABILITIES ACT TO EXAMINATIONS FOR PROFESSIONAL CREDENTIALS FOR OCCUPATIONS AND PROFESSIONS REGULATED UNDER CHAPTERS 157 AND 440-480, WIS. STATS.

SERIES INCLUDES MEDICAL RECORDS OF DISABILITIES, REQUESTS FOR MODIFICATIONS TO EXAMINATIONS, AND MODIFICATION AGREEMENTS.

RETAIN 6 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS THE DATE OF LAST EXAMINATION.

Dept #: /200/ Department Name: BOARD SERVICES

RDA # RDA Title Retention Disposition PII

00081000. CEMETERY & PRENEED SELLER AUDIT AND INSPECTION REPORTS EVT+5 DEST Y

RECORDS INCLUDE FINANCIAL ACCOUNTINGS OF TRUST FUNDS SUBMITTED TO THE DEPARTMENT BY CEMETERY AUTHORITIES AND PRENEED SELLERS, AND INCLUDE DEPARTMENT STAFF INSPECTIONS AND AUDITS PURSUANT TO SS. 157.62 AND 440.92(6), WIS. STATS.

SERIES INCLUDES ANNUAL REPORTS, REQUESTS FOR APPROVAL TO CHANGE THE TRUSTEE OF A CARE FUND OR PRENEED TRUST FUND, AUDIT REPORTS AND FINDINGS, AND SIGNIFICANT CORRESPONDENCE CONCERNING

Dept #: /200/ Department Name: BOARD SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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SATISFACTORY COMPLETION OF REQUIREMENTS.

RETAIN 5 YEARS AFTER CLOSED AND DESTROY. "CLOSED" MEANS SUMMARY INFORMATION INCLUDING DATE OF AUDIT OR INSPECTION, PERSON WHO PERFORMED AUDIT, ACCOUNT NUMBERS, BANK NAME, ACCOUNT ACTIVITIES, ANY VIOLATION DISCOVERED AND CITATION OF VIOLATION ARE ENTERED INTO DATE SYSTEM.

EVENT = ENTERED INTO DATA SYSTEM + 5 YEARS AND DESTROY CONFIDENTIAL.

Dept #: /250/ Department Name: CREDENTIALING HEALTH

RDA #	RDA Title	Retention	Disposition	PII
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<u>00044000.</u>	<u>CREDENTIALING CASE FILES/PROFESSIONAL & OCCUPATIONS REGULATIC</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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CREDENTIAL CASE FILES CONTAINING ALL MATERIALS AND INFORMATION TO REQUEST A CREDENTIAL TO PRACTICE IN THE STATE OF WISCONSIN, FOR CREDENTIALS PROVIDED FOR IN CHAPTER 157 & 440 TO 480, WIS. STATS. THE FILE DOCUMENTS THE INDIVIDUAL'S COMPLIANCE WITH THE REQUIREMENTS FOR A CREDENTIAL AND WITH THE DEPARTMENT'S CREDENTIALING PROCESSES AND PROCEDURES.

ESSENTIAL INFORMATION FOR EACH LICENSEE IS ENTERED INTO THE DEPARTMENT'S COMPUTERIZED CREDENTIAL HISTORY FILE (SEE RDA #28).

RETAIN 5 YEARS PAST THE CREDENTIALING DATE OR IF RECORDS ARE SCANNED SUCH THAT THE ESSENTIAL INFORMATION IS ENTERED INTO THE COMPUTER SYSTEM IN COMPLIANCE WITH THE DEPARTMENT'S MINIMAL STANDARDS PERTAINING TO CREDENTIAL COMPUTER RECORDS THEN DESTROY. THIS RDA DOES NOT APPLY TO THE DATA ENTERED INTO THE DEPARTMENT'S CREDENTIALING COMPUTER RECORDS.

<u>00052000.</u>	<u>PHARMACY ESTABLISHMENT PERMIT CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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PHARMACY ESTABLISHMENT PERMIT CASE FILES CONTAIN ALL INFORMATION AND MATERIALS REQUIRED BY THE PHARMACY EXAMINING BOARD PURSUANT TO CHAPTER 450.06, WIS. STATS., FOR GRANTING PERMITS TO OPERATE A PHARMACY AT A SPECIFIC LOCATION PURSUANT TO PHAR 6, WIS. ADM. CODE. FILES REMAIN OPEN AND ACTIVE FOR AS LONG AS THE PHARMACY REMAINS IN BUSINESS.

FILES INCLUDES THE FOLLOWING: 1) PERMIT APPLICATION; 2) PHARMACY FLOOR PLANS; 3) REQUESTS FOR VARIANCE; 4) REQUESTS TO REMODEL; 5) INSPECTION REPORTS; 6) NOTIFICATION OF CHANGE OF MANAGING PHARMACIST; 7) LOSS/THEFT REPORTS; 8) NOTIFICATION OF CHANGE OF HOURS; 9) CLOSED AFFIDAVIT, INDICATING PHARMACY CLOSURE, CHANGE OF OWNERSHIP, OR CHANGE OF LOCATION; 10) SIGNIFICANT DOCUMENTATION VERIFYING COMPLIANCE WITH STATE STATUTES AND ADMINISTRATIVE CODES.

ESSENTIAL INFORMATION FOR EACH LICENSE IS ENTERED INTO THE DEPARTMENT'S COMPUTERIZED LICENSE HISTORY FILE (SEE RDA #28). INFORMATION ON THOSE NOT RENEWED AFTER 1970 WILL NOT BE ENTERED INTO THE COMPUTER SYSTEM.

RETAIN 5 YEARS AFTER CLOSING AFFIDAVIT IS FILED SHOWING PHARMACY IS NO LONGER IN BUSINESS AND DESTROY PROVIDED INFORMATION IS ENTERED INTO THE COMPUTER SYSTEM IN COMPLIANCE WITH THE DEPARTMENT'S MINIMAL STANDARDS PERTAINING TO LICENSEE COMPUTER RECORDS.

EVENT = CLOSED + 5 YEARS AND DESTROY CONFIDENTIAL.

<u>00053000.</u>	<u>DRUG DISTRIBUTORS PRODUCT CATALOGUE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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DRUG DISTRIBUTOR'S PRODUCT CATALOGUES ARE REQUIRED BY THE PHARMACY EXAMINING BOARD PURSUANT TO CHAPTER 450, WIS. STATS. AS PART OF THE APPLICATION PROCESS FOR A CREDENTIAL PURSUANT TO CHAPTER PHAR 13, WIS. ADM. CODE.

PRODUCT CATALOGUES CONTAIN ALL PRODUCTS AVAILABLE FOR SALE BY A DISTRIBUTOR. CATALOGUES CHANGE FREQUENTLY AND QUICKLY BECOME OBSOLETE. DISTRIBUTORS ARE NOT REQUIRED TO SUBMIT UPDATED CATALOGUES.

RETAIN 1 YEAR AFTER DATE OF CREDENTIAL AN DESTROY CONFIDENTIAL.

<u>00094000.</u>	<u>PHARMACY INTERNSHIP CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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ON JANUARY 1, 2002, THE PHARMACY INTERNSHIP BOARD FUNCTION TRANSFERRED TO THE DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES (DSPS) UNDER THE AUTHORITY OF THE PHARMACY EXAMINING BOARD (CHAPTER 450, WIS. STATS.) THIS RDA COVERS INTERNSHIP CASE FILES CREATED PRIOR TO THE TRANSFER TO DSPS. UNDER THE NEW LAW, THE DEAN OF THE PHARMACY SCHOOL OR THE INTERN'S MANAGING PHARMACIST WILL VERIFY THAT THE

Dept #: /250/ Department Name: CREDENTIALING HEALTH

RDA # RDA Title Retention Disposition PII

APPLICANT HAS COMPLETED THE REQUIRED 1500 HOUR INTERNSHIP.

RETAIN 6 YEARS AFTER CLOSED THEN DESTROY. CLOSED MEANS THE DATE OF TRANSFER TO THE DEPARTMENT FROM THE SCHOOL OF PHARMACY.

Dept #: /400/ Department Name: SAFETY AND BUILDINGS

RDA # RDA Title Retention Disposition PII

00045000. RENTAL WEATHERIZATION RECORDS/CERTIFICATE OF COMPLIANCE EVT+0/1 DEST Y

Series Consists Of Records Created By Commerce'S Safety & Buildings Rental Weatherization Staff. This Program Requires That Specific Energy Efficiency Standards Be Met When Rental Properties Transfer Ownership. These Records Track The Certification Process, From Preliminary Field Reports To Issuance Of Certificates Of Compliance.

Records In The Series May Include:

- Certificate Of Compliance, Sbd-7114 Or Equivalent (Original Kept By Owner)
- Stipulation, Sbd-7115 Or Equivalent
- Waiver, Sbd-7116 Or Equivalent
- Exemption Application, Sbd-7303 Or Equivalent
- Exemption Control Form, Sbd-7783 Or Equivalent
- Field Inspection Report, Sbd-7313 Or Equivalent
- Field Inspection Report - Foundation Inspection Worksheet
- Rental Weatherization Order And Affidavit By Control Number
- Assorted Applicable Form Letters And Related Correspondence

Information Contained In The Series May Include:

- Name, Address And Telephone Number Of Both The Owner(S) And Rental Property Itself
- Conditions To Be Met, Pass/Fail Checklist, Inspector Signature
- Type Of Exemption Requested/Exemption Granted Or Denied
- Calculation Of Energy Conservation Measures, 5-Year Savings
- Building Information And Description, Inspector'S Statement
- And Other Related Program/Property Information

Records Accumulate In A Central File And Are Tracked By Control Number. Control Number Is The Locator Key.

EVENT = LIFE OF THE BUILDING + 30 DAYS AND DESTROY CONFIDENTIAL

00045A00. RENTAL WEATHERIZATION RECORDS / CERTIFICATES OF COMPLIANCE EVT+15 DEST Y

Series consists of electronic records created by staff. These records track and record the certification status of buildings, owners and locations for issuance of certificates of compliance.

Data elements entered into the computer include the owner name/address, the rental property name/address, the type of exemption, transfer date, order date and certification date.

EVENT = Issuance of certificate of compliance + 15 Years

00050000. MINE SAFETY TRAINING RECORDS CR+4 DEST N

Series include the training records for the Mine Safety Training program funded in part by the federal government. Records include agendas, training plans, materials handed out and completed answer sheets.

CREATION + 4 Years

00101000. PUBLIC SECTOR BUILDING SAFETY AND HEALTH INSPECTION FILES CR+5 DEST N

This record series contains information on inspections of public sector buildings done for Industrial Hygiene (health) and Safety purposes. The inspections are done every five years or whenever required by complaints, danger to public safety and/or health, or as staffing allows.

Record retention related to the time period until the next inspection report, work papers, correspondence and orders (if applicable) are completed and received from inspectors for the specified building. It is at that time when the old inspection papers may be destroyed and replaced by the more recent public health and safety inspection report and applicable papers.

Building data continued in this record series includes:

- Inspection date
- Internal office file number
- Owner's name and address
- Occupancy inspected, occupancy address

RDA #	RDA Title	Retention	Disposition	PII
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- Compliance date
- Person's name to whom violations were explained to
- Inspector's name
- Report number and inspector region number

Wisconsin Administrative Code number and violation explanation with expected action (if applicable)

<u>00122000.</u>	<u>BUILDING PLANS/ARCHITECTS SPECIFICATIONS AND RELATED CORRESPONDENCE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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RECORDS ARE CREATED UPON RECEIPT OF BUILDING PLANS FOR REVIEW AND APPROVAL. RECORDS CONTAINED IN THIS SERIES ARE BUILDING PLANS AND CALCULATION SPECIFICATIONS FILES UNDER THE WISCONSIN ADMINISTRATIVE CODE SECTION COMM. 61.30 (PLAN EXAMINATION AND APPROVAL) AND COMM 20.06(3) SUB CHAPTERS IV, V, VI AND VII (UNIFORM DWELLING CODE). COMM. 61.30 CATEGORIZES BUILDING PLANS FOR NEW COMMERCIAL BUILDINGS, NEW ADDITIONS AND ALTERATIONS. COMMERCIAL BUILDINGS INCLUDE BUT ARE NOT LIMITED TO FACTORIES, MERCANTILES, OFFICES, THEATERS, ASSEMBLY HALLS, SCHOOLS, HEALTH CARE FACILITIES AND PLACES OF DETENTION, DAY CARE FACILITIES, COMMUNITY-BASED RESIDENTIAL FACILITIES, ETC. THE PAPER CORRESPONDENCE FOR THESE PLANS IS NOW KEPT WITH THE PLAN AND NOT IN A SEPERATE FILING SYSTEM.

SPECIFIC RECORDS INCLUDE GENERAL BUILDING PLANS, STRUCTURAL PLANS AND/OR HEATING AND VENTILATING PLANS WITH CALCULATIONS. COMM. 20.06(3), SUBCHAPTERS IV, V, VI AND VII CATEGORIZES APPROVAL AND INSPECTION ON ONE-AND TWO-FAMILY DWELLINGS, APPROVAL AND INSPECTION OF MANUFACTURED DWELLINGS AND THEIR COMPONENTS, APPROVAL OF MATERIALS, VARIANCES, APPEALS, VIOLATIONS AND PENALTIES, RESPECTIVELY. PLANS ARE RETAINED FOR THREE YEARS FOR REVIEW PURPOSES IN CASE OF ANY BUILDING REMODELING OR TECHNICAL PROBLEMS.

RECORDS IN THESE FILES INCLUDE: LETTERS SENT TO OWNERS, DESIGNERS, ETC., BY PLAN REVIEWERS REGARDING PLAN APPROVALS/DENIALS; REQUESTS FOR ADDITIONAL INFORMATION; INCORRECT FEES PAID; GENERAL INFORMATION LETTERS. OTHER RECORDS INCLUDE LETTERS RECEIVED FROM OWNERS, DESIGNERS, ETC., REGARDING BUILDING ALTERATIONS; OWNER CHANGES; ADDITIONS TO HEATING AND VENTILATING; REQUESTS FOR CODE VERIFICATION, ETC.

INFORMATION IN THIS SERIES MAY ALSO INCLUDE: BUILDING LOCATION, TYPE OF OCCUPANCY, OWNER NAME, ARCHITECT NAME, SUPERVISING PROFESSIONAL, AND OTHER PERTINENT INFORMATION

INCLUDED IN THIS SERIES ARE PUBLIC SECURE BUILDING PLANS SUBMITTED TO THE DIVISION FOR REVIEW AND APPROVAL UNDER WISCONSIN ADMINISTRATIVE CODES. SECURE STRUCTURE MEANS A BUILDING OR OTHER STRUCTURE OF A TYPE WHICH IS OR IS ANTICIPATED TO BE OWNED OR LEASED BY THE STATE, OTHER GOVERNMENTAL BUILDINGS, AND OTHER GOVERNMENTAL BUILDINGS WHICH THE DEPARTMENT DETERMINES TO HAVE EXTRAORDINARY SECURITY REQUIREMENTS. SUCH SECURE STRUCTURES INCLUDE, BUT ARE NOT LIMITED TO, STRUCTURES USED FOR THE SAFEKEEPING OF LARGE SUMS OF MONEY, A CORRECTIONAL FACILITY, SAFEKEEPING OF WEAPONS OR EXPLOSIVES, THE GENERATION OR DISTRIBUTION OF ELECTRIC POWER, FUELS OR COMMUNICATIONS. THESE FILES ARE NOT RELEASED FOR PUBLIC VIEWING WITHOUT PERMISSION FROM DEPARTMENT LEGAL COUNSEL.

EVENT = PLAN APPROVAL + 3 YEARS AND DESTROY CONFIDENTIAL

<u>00138000.</u>	<u>ADMINISTRATIVE RULES-CODE DEVELOPMENT BACKGROUND MATERIAL</u>	<u>CR+15</u>	<u>DEST</u>	<u>N</u>
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THE RECORD SERIES CONTAINS ADMINISTRATIVE RULE-MAKING BACKGROUND MATERIAL USED FOR THE DEVELOPMENT OF WISCONSIN ADMINISTRATIVE CODE, SAFETY AND BUILDINGS DIVISION.

MATERIAL CONTAINS:

- RESEARCH PAPER
- CODE BOOK FINAL DRAFTS
- PUBLIC HEARING INFORMATION
- EXHIBITS
- COMMITTEE CORRESPONDENCE
- MEETING MINUTES,
- AND OTHER RELATED MATERIAL.

NOTE: THIS MATERIAL IS USED BY ADMINISTRATIVE SERVICES STAFF WORKING ON REVISIONS TO THE BUILDING CODE, BY ATTORNEYS FOR LEGAL RESEARCH, AND AS A RESEARCH SOURCE FOR OTHER BUILDERS EXPERIENCING PROBLEMS.

EVENT = CR + 15 YEARS AND DESTROY

<u>00148000.</u>	<u>SWIMMING POOL AND WATER ATTRACTION PLANS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Records are created upon receipt or scheduling of swimming pool or water attraction plans and specifications submitted for review and approval.

Records series consists of

- Swimming pool plans and water attraction plans
- Calculations and specifications filed under s. Comm. 90, Plan Review and Approval, or
- Petition for variance submittals under s. Comm. 3 of the Wisconsin Administrative Code.

RDA #	RDA Title	Retention	Disposition	PII
	-Other related materials as needed.			
<u>00149000.</u>	<u>PRIVATE SEWAGE SYSTEM PLANS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Records required to be submitted under Comm 83.22 are created upon receipt of private sewage systems plan, petition for variance or groundwater monitoring reports.			
	Records Series Consists Of: <ul style="list-style-type: none"> - Design Drawings, - Specifications, - Calculations, - Soil Evaluations - Groundwater Monitoring Reports - Other Related Materials As Needed. 			
	Evt=Plan Approval.			
<u>00171000.</u>	<u>WISCONSIN UNIFORM BUILDING PERMIT APPLICATION FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Series consists of Wisconsin Uniform Building Permit Applications. The department receives these records pursuant to Wis. Stat. § 101.64(5). The records are received in either paper or electronic format.			
	The record series contains information about the type of permit requested, the project location, detailed building plan data, over/issuing jurisdiction names, and other pertinent information.			
	Paper records are retained for one month on-site after entry into the computer system for quality control purposes, then destroyed confidentially.			
	EVENT = Date permit issued + 3 Years			
<u>00180000.</u>	<u>PRIVATE SEWAGE GRANT PROGRAM ADMINISTRATIVE FILES</u>	<u>CR+10</u>	<u>SHSW</u>	<u>Y</u>
	Series Contains Ongoing Historical Documentation Of The Private Sewage Grant Program Under The Wisconsin Fund. The Program Is Authorized Under S.145.245, Wis. Stats., And Chapter COMM 87, Wis Adm Code. Series Provides Financial Record By County Or Grant Awards.			
	Records Include: <ul style="list-style-type: none"> - County Program Participation Resolutions And Ordinances - Grant Awards And Varied Grant Summary Reports - Appeals Of Decisions Denying Applications - Hearing Decision - Program Guidelines, Income Levels - Grant Tracking History - Policy Determination - Public Communication Records - Program Maps/Brochures/Mailings - Sample Forms - And Other Pertinent Information 			
<u>00180A00.</u>	<u>PRIVATE SEWAGE GRANT PROGRAM APPLICATION FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	Series Contains The Applications And Documentation For Grant Awards From The Private Sewage Grant Program Under The Wisconsin Fund. The Program Is Authorized Under S.145.245 Wis. Stats., And Chapter COMM 87, Wis Adm Code. The Program Is Administered At The Local Level By The Counties.			
	Counties Receive Applications And Other Documentation From Property Owners, Review And Send Copy To Commerce For Grant Award Review/Decision.			
	Records Include: <ul style="list-style-type: none"> -Owner'S Application (Sbd-9163) -Grant Worksheet (Sbd-9167) -Sanitary Permit (Sbd-6494) -Plot Plan -Copy Of Deed -Government Unit Application (Sbd-9160_ -Eligible Applicant'S List (Sbd-9166) -Request For Payment (Sbd-9164) -Payment Claim Worksheet (Sbd-9165) -Inspection Reports, Income Tax Information -And Other Pertinent Information 			
<u>00180B00.</u>	<u>PRIVATE SEWAGE GRANT PROGRAM GENERAL CORRESPONDENCE</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>

RDA #	RDA Title	Retention	Disposition	PII
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Series Contains Correspondence For The Private Sewage Grant Program Under The Wisconsin Fund. This Program Is Authorized Under S.145.245, Wis. Stats., And Chapter COMM 87, Wis Adm Code. These Files Cover Routine Requests For Information About This Financial Assistance Program.

Records Include:

- Requests From The Public
- Requests From Other Government Agencies And Legislature For Materials
- Responses To All Other Miscellaneous Requests.

<u>00180C00.</u>	<u>PRIVATE SEWAGE GRANT PROGRAM ELECTRONIC FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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This Electronic Record Series Contains Summary And Tracking Data Of Applications For Grant Awards From The Private Sewage Grant Program Under The Wisconsin Fund. The Program Is Authorized Under S. 145.245, Wis. Stats., And Chapter Comm 87, Wis. Adm. Code. The Program Is Administered At The Local Level By The Counties. Counties Receive Applications And Other Documentation From Property Owners, Review And Send Copy To The Safety And Buildings Division For Grant Review/Decision. Appropriate Data Elements From The Application Materials Are Then Entered Into The Program Database. The Database Reports And Queries Are Kept Separate For Each Fiscal Year.

Data Maintained In This Electronic Record Include:

- Grant Number
- County Of Residence
- Owner (Applicant) And Co-Owner Names, Addresses, Social Security Numbers
- Property Legal Description And Parcel Number
- Applicant'S Income
- Permit Number And Date Of Approval
- Plan Number And Date Of Plan Approval
- Replacement System Type
- Principal Residence Of Small Commercial Establishment
- Amount Of Grant Requested And Awarded

Paper Files From Which Data Is Taken For This Electronic Record Are Covered Under

Rda 180 : Administrative files are retained for 10 years and then forwarded to the historical society
 Rda 180A: Applicant files are retained for 5 years then destroyed.

Evt=Grant Issuance Decision.

<u>00208000.</u>	<u>MANUFACTURED HOME PARKS - LICENSING CASE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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The department is responsible for licensing and regulating mobile home parks pursuant to Wis. Stat. § 101.935. The department may also promulgate rules and issue orders to administer and enforce this program.

Records include applications, complaints, financial statement, and related correspondence.

EVENT = Date license issued + 3 Years

<u>00209000.</u>	<u>MANUFACTURED HOME DEALERS & SALES PERSONS LICENSES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Manufactured Home Dealers & Sales Persons Licenses

The Safety & Building Division is responsible for regulating manufactured home dealers and manufactured home dealer salespersons per Wisc. Statutes s. 218.101. Per statute the Division is required to retain records of applications, complaints, financial statements, and related correspondence.

<u>00210000.</u>	<u>MANUFACTURED HOUSING TITLES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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The department receives manufactured housing title applications for new, replacement, change of ownership, adding a lien and clearing a lien. Information includes owner name, owner address, FEIN numbers, home ID numbers, location of home and secured party information.

Paper records are retained for 3 months on-site after entry into the computer system for quality control purposes, then destroyed confidentially.

EVENT = Date entered into computer + 5 Years

<u>00220000.</u>	<u>PERMIT APPLICATION TO PURCHASE SEPTIC TANKS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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The Division receives Sanitary Permit Application summary sheets from County Sanitary Permit Issuing Agencies. The summary contains information taken from Sanitary Permit Applications submitted to the county by individuals.

Paper records are maintained only until the information is entered into the computer system and then the records are destroyed confidentially.

RDA #	RDA Title	Retention	Disposition	PII
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EVENT = Date permit issued + 5 Years

00221000.	PRODUCT APPROVAL FILES	EVT+4	DEST	N
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CONTAINS PRODUCT AND BACKGROUND INFORMATION SUBMITTED FOR BUILDING OR PLUMBING PRODUCT APPROVAL. APPROVALS ARE USED BY STATE AND LOCAL CODE OFFICIALS TO VERIFY COMPLIANCE WITH APPLICABLE CODES. APPROVALS ARE TYPICALLY FOR 5 YEARS. SUBMITTERS MAY RENEW FOR ADDITIONAL PERIODS. FILES ARE USED BY STAFF AND THE PUBLIC TO ANSWER QUESTIONS THAT MAY ARISE REGARDING THE APPROVAL.

EVENT = APPROVAL EITHER: CLOSED, DENIED, EXPIRED, RESCINDED, ADOPTED IN CODE + 4 YEARS AND DESTROY

00227000.	MAUNFACTURED HOME FILES	EVT+50	DEST	Y
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Manufactured Home Files Contain Data Plates And Production Reports, Inspection Reports And Consumer Reports. Between 1976-1994, The Safety And Buildings Did The Work And Accumulated These Records As An Ipia, Which Is An In Production Inspection Agency. The Division Is No Longer An Ipia And No Longer Collects Or Maintains These Records Past 1994.

Manufactured Home Data Plates And Production Reports: A Manufactured Home Data Plate Is A Multiple Form Affixed To An Inside Wall Of Each Mobile Home. Safety And Buildings Inspector Removed And Retained A Ply As A Department Record At Time Of Inspection. Data Plate Information Includes Manufacturer'S Name And Plate Location, Unit Serial Number, Model Number, Date Manufactured, Etc. Production Reports Are Submitted Monthly By Manufacturers.

Manufactured Home Inspection Reports (Form Sbd-4725, Or Equivalent): These Reports Were Done In Manufacturing Plant As Units Were Completed. Safety And Buildings Field Inspectors Submitted Reports On A Weekly Basis To The Safety And Buildings Administrative Office. Reports Included Identifying Information From The Mobile Home Data Plate Plus Nonconformance Problems With Recommended Solutions.

Federal Regulation 24CFR 3282.362 requires permanent retention of IPIA records. A retention of 50 years is being used because Federal Regulations should be reviewed by that time and manufactured home units should be out of service by then.

Supersedes Rdas 021/85/001, 021/85/002 And 021/85/003.

00227A00.	MANUFACTURED HOME CONSUMER COMPLAINTS	EVT+3	DEST	Y
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Manufactured Home Consumer Complaints (form SBD-4739 or its equivalent): Complaints were submitted to Safety and Buildings by consumer protection agencies or by individual complainants. These complaints are handled by Safety and Buildings in our role as an SAA for HUD. Files consist of formal complaint, notes and correspondence. (Note: This series was previously a subset of RDA 00227 now separated to distinguish different agency roles and retention periods)

Series consists of complaints that are entered into a database and assigned a numeric tracking number. Paper information included in this record series includes, but is not limited to the following: Inspector, Internal File Number, Owner's Name and Address, and all other relevant information relating of the complaint tracker process.

00230000.	INSPECTION REPORTS	EVT+3	DEST	Y
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THIS RECORD SERIES CONTAINS INFORMATION RELATED TO THE INSPECTION OF OBJECTS THE DIVISION IS REQUIRED TO REGULATE. THESE RECORDS INCLUDE AND ARE NOT LIMITED TO THE FOLLOWING PROGRAM AREAS: AMUSEMENT RIDE AND SKI LIFT, BUILDING, ELEVATOR, POWER BOILER AND REFRIGERATION GROUP II. THESE INSPECTIONS ARE DONE RANGING FROM A 1 TO 3 YEAR BASIS, DEPENDING ON THE CODE INVOLVED, FOR PUBLIC SAFETY PURPOSES. INSPECTIONS MAY ALSO BE DONE WHENEVER REQUIRED BY COMPLAINTS RECEIVED BY THE SAFETY AND BUILDINGS DIVISION OR WHENEVER A POTENTIAL DANGER TO PUBLIC SAFETY MAY EXIST.

RECORD RETENTION RELATES TO THE TIME PERIOD UNTIL THE NEXT INSPECTION REPORT, WORK PAPERS, CORRESPONDENCE AND ORDERS (IF APPLICABLE) ARE COMPLETED AND RECEIVED FROM INSPECTORS. IT IS AT THAT TIME THAT WHEN THE OLD INSPECTION REPORT PAPERS MAY BE DESTROYED AND REPLACED BY THE MORE RECENT INSPECTION REPORT AND APPLICABLE REPORTS. THE ELECTRONIC VERSION OF THE REPORT WILL BE KEPT PERMANENTLY.

INFORMATION CONTAINED IN THIS RECORD SERIES INCLUDES AND IS NOT LIMITED TO THE FOLLOWING:

- INSPECTION DATE
- REGISTRATION NUMBER
- OBJECT DESCRIPTION INFORMATION
- INTERNAL OFFICE FILE NUMBER

RDA # RDA Title Retention Disposition PII

- OWNER'S NAME AND ADDRESS
- COMPLIANCE DATE
- PERSON'S NAME TO WHICH VIOLATIONS WERE EXPLAINED TO
- INSPECTOR'S NAME AND WISCONSIN CREDENTIAL NUMBER
- REPORT NUMBER AND INSPECTOR REGION NUMBER
- WISCONSIN ADMINISTRATIVE CODE NUMBER AND VIOLATION EXPLANATION WITH EXPECTED ACTION *IF APPLICABLE)
- ANY OTHER PERTINENT INFORMATION RELATING TO THE REGULATED OBJECT INSPECTION PROCESS

EVENT = REPLACED BY NEWEST INSPECTION REPORT + 3 YEARS AND DESTROY CONFIDENTIAL

00232000. **PETITION AND PLAN REVIEW TRACKING-ELECTRONIC FILES** **EVT+20** **DEST** **Y**

THESE ELECTRONIC RECORDS CONTAIN DATA PERTAINING TO THE TRACKING OF PETITIONS FOR VARIANCE AND PLAN REVIEWS. THE RECORDS PERTAIN TO THE FOLLOWING PROGRAM AREAS: BUILDING, ELEVATOR, PLUMBING, AND PRIVATE SEWAGE. THE RECORDS ARE USED BY STAFF TO TRACK THE REVIEW AND APPROVAL/DENIAL PROCESS FOR PLANS AND PETITIONS FOR VARIANCE SUBMITTED TO THE SAFETY AND BUILDINGS DIVISION. THE DATA IN THIS FILE IS ENTERED FROM A VARIETY OF PAPER DOCUMENTS USED IN THE REVIEW PROCESS.

THE DATA ELEMENTS ENTERED AND TRACKED IN THESE ELECTRONIC RECORDS INCLUDE:

- OWNER NAME
- SUBMITTER NAME AND ADDRESS
- DATE SUBMITTED
- INSPECTION OR REVIEW DATES
- APPROVAL OR DENIAL DATES
- OCCUPANCY
- FEES
- CODE SECTIONS PETITIONED

EVENT = CLOSED + 20 YEARS AND DESTROY

00234000. **NON-BUILDING CORRESPONDENCE FILES** **EVT+3** **DEST** **Y**

The Division receives correspondence relating to plans for elevators, boilers, pressure vessels, amusement rides and ski tows submitted to the division for review and approval under Wisconsin Administrative Codes. This series also contains correspondence pertaining to the inspection and maintenance of the listed objects.

EVENT = Last review activity + 3 Years

00235000. **COMPLETION STATEMENTS** **EVT** **DEST** **Y**

This Record Series Is A Document Entitled Compliance Statement (Form Sbdb-9720 Or Its Equivalent) Submitted To The Division That Provides Information Pertaining To The Construction Completion Of A Building And/Or Hvac (Heating, Ventilation, Air Conditioning) Project. The Document Will Attest To Either The Completion Of A Project With Substantial Compliance With The Previously Approved Plans And Specifications; A Statement Of Noncompliance Listing Violations; A Supervising Professional Withdrawing From A Project; Or A Project Being Abandoned. A Document May Also Be Submitted Attesting To The Partial Completion Of A Building And/Or Hvac Project.

Multiple Compliance Statements May Be Submitted To The Division For A Project Before The Final Version Is Submitted Attesting To Substantial Compliance. Once Comm. 61.50(4) Has Been Satisfied And after The Applicable Data From The Compliance Statement Has Been Entered To The Automated System, The Document May Be Destroyed.

Information Contained In The Record Series Includes Project Information Pertaining To The Owner'S Name, Company Name, Address, Plan Or Reference Number, Building Occupancy Chapter/Use, Tenant Name, Building Location, Property Identification Number, The Registration Number Of The Building And/Or Hvac Supervising Professional.

00240000. **CREDENTIAL EXAMINATION RECORDS** **EVT+0/3** **DEST** **Y**

This Record Series Contains The Paper Examinations For Specific Credentials Such As Licenses, Certifications Or Registrations Under Chapters 101, 145 And 167 Of The Wisconsin State Statutes. These Credentials Relate To Activities Associated With The Construction Of Buildings and Structures, Specific Components And Elements That Serve Buildings And Structures, Inspection Activities And The Like.

RDA #	RDA Title	Retention	Disposition	PII
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The Requirements That Need To Be Met For Successful Attainment Of An Approved Credential Are Administered by the division in accordance with rules in the Wisconsin Administrative Code. Examinations Are Required For Credentials Specifically Identified In The Code.

Specified Data From These Paper Records Are Entered To An Electronic Relational Database.

Information Contained In This electronic record series includes Applicant Name, Social Security Number, Address, Telephone Number, Exam Score, Amount Of Fee And Date Paid, License Number, Credential Expiration Date And Other Pertinent Information Gathered As Needed.

<u>00242000.</u>	<u>FIRE DEPARTMENT ADMINISTRATIVE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONTAINS INFORMATION ON FIRE DEPARTMENTS THROUGHOUT THE STATE. ANNUALLY THE MUNICIPAL CLERKS AND FIRE CHIEFS MUST CERTIFY THAT THE NECESSARY FIRE INSPECTIONS ARE COMPLETED.

AS OF JANUARY 1, 2011, PAPER RECORDS ARE NO LONGER BEING SUBMITTED. ALL ENTRY IS DONE BY THE SUBMITTING PARTY USING A WEB BASED APPLICATION.

RECORDS IN THE SERIES MAY INCLUDE:

1. CERTIFICATION FORMS INDICATING INSPECTIONS COMPLETED TO RECEIVE 2% FIRE DUES. (3 YEAR RETENTION FOR PAPER COPY)
2. CORRESPONDENCE ON ROUTINE FIRE INSPECTION ISSUES WITH FIRE DEPARTMENTS. (3 YEARS RETENTION FOR PAPER COPY)
3. CONTRACTS BETWEEN MUNICIPALITIES AND FIRE DEPARTMENTS TO PERFORM FIRE SUPPRESSION AND INSPECTION WORK. (3 YEARS RETENTION FOR PAPER COPY)

INFORMATION IN THE SERIES MAY INCLUDE:

1. NAMES, ADDRESSES, TELEPHONE NUMBERS OF MUNICIPAL CLERKS AND FIRE DEPARTMENT PERSONNEL.
2. COMPLIANCE STATUS OF FIRE DEPARTMENTS ON DOING NECESSARY FIRE INSPECTIONS IN FORMER YEARS.
3. TERMS OF CONTRACTS BETWEEN FIRE DEPARTMENTS AND MUNICIPALITIES.
4. OTHER RELATED FIRE PROGRAM INFORMATION.

EVENT = CLOSED + 3 YEARS AND DESTROY CONFIDENTIAL

<u>00243000.</u>	<u>CREDENTIAL RECORDS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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This Record Series Contains The Paper Applications And Related Correspondence For Specific Credentials Such As Licenses, Certifications Or Registrations Under Chapters 101, 145 And 167 Of The Wisconsin State Statutes. These Credentials Relate To Activities Associated With The Construction Of Buildings And Structures, Specific Components And Elements That Serve Buildings And Structures, Inspection Activities And The Like. The Requirements That Need To Be Met For Successful Attainment Of An Approved Credential Are Administered By The Division In Accordance With Rules In The Wisconsin Administrative Code. Credentialing Processes Include Issuance Of Credentials, Suspensions And Revocations.

The Retention Schedule For These Records Is Intended To Extend For Three Weeks After The Final Determination Is Entered Into The Database. Such Credentials And Pertinent Information About Them Are Contained In The Division'S Administrative Code Concerning Credentialing Requirements.

Information Contained In This Record Series Includes Applicant Name, Social Security Number, Address, Telephone Number, Employer And/Or Work Location Information, Exam Score, Amount Of Fee And Date Paid, License Number, Credential Expiration Date And Other Pertinent Information Gathered As Needed.

Information From These Paper Records Is Entered To An Electronic Relational Database.

Evt=Entered Into Data System.

<u>00243A00.</u>	<u>CREDENTIAL RECORDS ELECTRONIC FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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This Record Series Contains The Electronic Data For Specific Credentials Such As Licenses, Certifications Or Registrations Under Chapters 101, 145 And 167 Of The Wisconsin State Statutes. The Data (Taken From Paper Documents Covered Under Rda 243) Is Entered To A Powerbuilder Fronted Application. The Data Is Stored In An Oracle Database In Relational Tables. All Data Is Backed Up Nightly To Tape For Restoration And Disaster Recovery Purposes. Automated Data Searches Distinguish Between Active And Closed Data. The System Does Not Run An Ongoing Purge Program, Nor Is Data Separated By Use Of Archival Programs. Specific Purge Programs Are Written As Needed. These Credential Records Relate To Activities Associated With The Construction Of Buildings And Structures, Specific Components And Elements That Serve Buildings And Structures, Inspection Activities And The Like. Application Processes Include Calls To The Database'S Relational Tables To Extract Appropriate Data Fields For Printing Of Paper Credentials, Suspensions And Revocations. These Documents Are Then Mailed To Recipients.

Data Contained In The Oracle Database Tables Includes Tracking, Fee, Educational Training, Assorted Status Information, Etc.,

RDA # RDA Title Retention Disposition PII

Pertaining To Credential Applicants. Core Data Maintained Includes:
 - Applicant Name
 - Applicant Social Security Number
 - Applicant Address
 - Telephone Number
 - Employer And/Or Work Location Information
 - Exam Results
 - License Number
 - Credential Expiration And Other Relevant Date Information.

EVENT = LAST CREDENTIAL EXPIRATION DATE

00243B00. **CREDENTIAL RECORDS - APPLICATIONS DENIED DUE TO DEPARTMENT OF** **EVT+0/3** **DEST** **Y**

THIS RECORD SERIES CONTAINS PAPER APPLICATIONS AND RELATED CREDENTIAL DENIAL CORRESPONDENCE FOR SPECIFIC CREDENTIALS SUCH AS LICENSES, CERTIFICATIONS OR REGISTRATIONS UNDER CHAPTERS 101, 145, AND 167 OF THE WISCONSIN STATUTES. THESE CREDENTIALS RELATE TO ACTIVITIES ASSOCIATED WITH THE CONSTRUCTION OF BUILDINGS AND STRUCTURES, SPECIFIC COMPONENTS AND ELEMENTS THAT SERVE BUILDINGS AND STRUCTURES, INSPECTION ACTIVITIES AND THE LIKE. THE REQUIREMENTS THAT NEED TO BE MET FOR SUCCESSFUL ATTAINMENT OF AN APPROVED CREDENTIAL ARE ADMINISTERED BY THE DIVISION IN ACCORDANCE WITH RULES IN THE WISCONSIN ADMINISTRATIVE CODE. CREDENTIALING PROCESSES INCLUDE ISSUANCE OF CREDENTIALS, SUSPENSIONS, AND REVOCATIONS.

CREDENTIAL APPLICATIONS ARE IMMEDIATELY HELD WHEN THEY ARE A MATCH WITH DELINQUENT TAXES WITH THE DEPARTMENT OF REVENUE. DEPARTMENT OF REVENUE SENDS AN OCCUPATIONAL LICENSE DENIAL WARNING TO THE APPLICANT GIVING THE APPLICANT 10 DAYS TO RESOLVE THE DELINQUENT TAXES. IF THE APPLICANT DOES NOT RESPOND WITHIN 10 DAYS, THE DEPARTMENT OF REVENUE ISSUES A CERTIFICATE OF DELINQUENT TAXES TO THE APPLICANT AND NOTIFIES SAFETY AND BUILDINGS. THE SAFETY AND BUILDINGS CREDENTIALING UNIT SENDS THE APPLICANT A DENIAL LETTER UNDER S. 101.02(20)C, WISCONSIN STATE STATUTES. THE APPLICANT HAS THE RIGHT TO REQUEST A HEARING WITH THE DEPARTMENT OF REVENUE UNDER S. 73.0301(5)(A), WISCONSIN STATE STATUTES. THE REQUEST FOR A HEARING MUST BE MADE WITHIN 30 DAYS OF THE MAILING OF THE DENIAL LETTER.

THE RETENTION SCHEDULE FOR THESE RECORDS IS INTENDED TO EXTEND FOR THREE MONTHS AFTER THE DENIAL ACTION IS ENTERED INTO THE DATABASE TO HAVE THE RECORDS AVAILABLE FOR POSSIBLE APPEALS WITH THE DEPARTMENT OF REVENUE OR THE DEPARTMENT OF COMMERCE WITHIN THE ESTABLISHED TIMEFRAMES. SUCH CREDENTIALS AND PERTINENT INFORMATION ABOUT THEM ARE CONTAINED IN THE DIVISION'S ADMINISTRATIVE CODE CONCERNING CREDENTIALING REQUIREMENTS.

INFORMATION CONTAINED IN THIS RECORD SERIES INCLUDES APPLICANT NAME, SOCIAL SECURITY NUMBER, ADDRESS, TELEPHONE NUMBER, EMPLOYER AND/OR WORK LOCATION INFORMATION, TAX DELINQUENT INFORMATION, AMOUNT OF FEE AND DATE PAID, LICENSE NUMBER, CREDENTIAL EXPIRATION DATE AND OTHER PERTINENT INFORMATION GATHERED AS NEEDED.

EVENT = ENTERED INTO DATA SYSTEM

00246000. **THREE YEAR BOILER, PRESSURE VESSEL, ETC., INSPECTION REPORTS** **CR+6** **DEST** **Y**

Reports This Record Series Contains Inspection Information On Heating Boilers, Pressure Vessels, Group I Refrigeration Objects, Anhydrous Ammonia Systems And Nurse Tanks. Inspections Of These Objects Are Done On A Three Year Cycle, For Public Safety Purposes.

Inspections May Also Be Done Whenever Complaints Are Received, There Is A Potential Danger To Public Safety, Repair Inspections Are Required Or As Requested.

Record Retention Relates To The Time Period Until The Next Inspection Report, Work Papers, Correspondence And Orders (If Applicable) Are Completed And Received From Inspectors For Heating Boilers, Pressure Vessels, Group I Refrigeration Objects, Anhydrous Ammonia Systems And Nurse Tanks. It Is At That Time That Old Inspection Papers May Be Destroyed And Replaced By The More Recent Inspection Report And Applicable Papers.

Information Contained In This Record Series Includes, But Is Not Limited To The Following:

- Inspection Date
- Registration Number
- Internal Office File Number
- Owner'S Name And Address
- Compliance Date
- Person'S Name To Whom Violations Were Explained To
- Inspector'S Name
- Inspector Region Number
- Wisconsin Administrative Code Number And Violation Explanation With Expected Action (If Applicable)
- Specific Object Description Information

RETENTION INCREASED CREATION DATE PLUS 6 YEARS (2 FULL CYCLES) PER PRB 11/26/2007

00247000. **PUBLIC SAFETY OBJECTS CORRESPONDENCE FILES (E-FILES)** **EVT+3** **DEST** **Y**

RDA #	RDA Title	Retention	Disposition	PII
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This Record Series Contains Information From The Paper E- File Or Equivalent Correspondence File For All Types Of Elevators, Boilers, Pressure Vessels, Ski Tows, Amusement Rides, Refrigeration, Anhydrous Ammonia Tanks And Mines/ Pits/Quarries. The File Is Used To Record Information Aboutthe Object Pertaining To Location, Owner And Other Names, Dates, Etc., As Needed For Programmatic Purposes.

Records In These Files Include Copies Of Letters Sent To Owners Pertaining To The Installation And/Or Operation Required Maintenance, Repairs (From Orders) An Pressure Vessels, Ski Tows, Amusement Rides, Refrigeration, Anhydrous Ammonia Tanks And Mines/Pits/Quarries.

Information Maintained In This Record Includes:

- Owner Name And Address
- Occupant Name
- Inspection Date
- Batch Dates
- Insurance Code
- Manufacturer
- Location
- District
- Type Of Inspection
- Number Of Violations
- Other Correspondence And Data As Needed.

Evt=Last Review Activity.

<u>00248000.</u>	<u>SANITARY PERMITS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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This Record Series Contains Summary Information Of Plan Review And Permit Issuance To Construct Private Sewage Systems Pursuant To The Requirements Of Wis. Adm. Code S. Ilhr 83.06(2) And Wis, Stats. Ss.145.135 And 145.19. The Plan Review Is Done By The State Or By A Municipality. The Local Governing Body Issues The Permit To Construct The Private Sewage System.

Local Ordinances Are Controlling Concerning Possible Restrictions Or Total Bans On Use Of These Systems. A Single Permit Card From The Local Government Unit Provides The Data Required By The Safety And Buildings Division For Program Monitoring And Reporting.

Data Retained For This Record Series Includes:

- Owner Name And Mailing Address
- County
- Property Location Including Township And Section
- Type Of Permit
- Type Of System
- Gallons Per Day
- Loading Rate
- Number Of Tanks
- Tank Capacity
- Any Other Information That May Be Deemed Appropriate

Information From These Paper Records Is Entered To An Electronic Relational Database.

Evt=Entered Into Data System.

<u>00248A00.</u>	<u>SANITARY PERMITS ELECTRONIC FILES</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
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This electronic record series contains summary data of plan review and permit issuance to construct private sewage systems pursuant to the requirements of Wis. Adm. Code s. COM 83.06(2) and Wis. Stats. ss. 145.135 and 145.19. The plan review is done by the state or by a municipality. The local governing body issues the permit to construct the private sewage system. Local ordinances are controlling concerning possible restrictions or total bans on use of these systems. A single permit card from the local government unit provides the data required by the Safety and Buildings Division for program monitoring and reporting. The data (taken from paper documents covered under RDA 00248) is entered into an Access database. All data is backed up nightly to tape for restoration and disaster recovery purposes. The system does not run an ongoing purge program nor is data separated by use of archival programs. Specific purge programs are written as needed.

Data entered and tracked in these electronic records includes:

- County
- Type of permit
- Type of system
- Any other information that may be deemed appropriate

<u>00270000.</u>	<u>CROSS CONNECTION CONTROL ASSEMBLY REGISTRATION AND TEST REP</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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RDA #	RDA Title	Retention	Disposition	PII
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The Division receives registrations prior to installation of Cross Connection Control Assemblies per SPS 382.20. These assemblies also require annual testing pursuant to SPS 382.21.

Most records are submitted electronically; however, paper submittals are entered into the database when received and then destroyed.

EVENT = Date of receipt + 2 Years

<u>00358000.</u>	<u>COMPLAINT TRACKER DISPOSED REPORTS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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Series consists of disposed complaints that are entered into a database and assigned a numeric tracking number. Disposed complaints are those that are transferred to another agency/department, not covered by administrative rules, or have no merit for follow-up action.

Complaints fall under the following types:

- . Amusement Rides
- . Blasting
- . Boilers/Pressure Vessels
- . Commercial Buildings
- . Credentialing
- . Electrical
- . Elevators
- . Erosion Control
- . Fire Safety
- . Manufactured Home Parks
- . Mines/Quarries
- . Plumbing
- . Pools
- . Private Sewage Systems/Holding Tanks
- . Public Safety
- . Rental Weatherization
- . One- and Two-Family Homes
- . Ski Lifts/Ski Tows

<u>00358A00.</u>	<u>COMPLAINT TRACKER CLOSED REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Series consists of complaints that are entered into a database and assigned a numeric tracking number. Paper information included in this records series includes, but is not limited to the following: Inspector, Internal File Number, Owner's Name and Address, and all other relevant information relating to the complaint tracker process.

Complaints fall under the following types:

- . Amusement Rides
- . Blasting
- . Boilers/Pressure Vessels
- . Commercial Buildings
- . Credentialing
- . Electrical
- . Elevators
- . Erosion Control
- . Fire Safety
- . Manufactured Home Parks
- . Mines/Quarries
- . Plumbing
- . Pools
- . Private Sewage Systems/Holding Tanks
- . Public Safety
- . Rental Weatherization
- . One- and Two-Family Homes
- . Ski Lifts/Ski Tows

<u>00358B00.</u>	<u>COMPLAINT TRACKER ELECTRONIC FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Series consists of complaints that are entered into a database and assigned a numeric tracking number. Electronic information included in this records series includes, but is not limited to the following: Inspector, Internal File Number, Owner's Name and Address, and all other relevant information relating to the complaint tracker process.

Complaints fall under the following types:

- . Amusement Rides
- . Blasting
- . Boilers/Pressure Vessels
- . Commercial Buildings
- . Credentialing
- . Electrical
- . Elevators
- . Erosion Control
- . Fire Safety

Dept #: /400/

Department Name: SAFETY AND BUILDINGS

RDA #	RDA Title	Retention	Disposition	PII
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- . Manufactured Home Parks
- . Mines/Quarries
- . Plumbing
- . Pools
- . Private Sewage Systems/Holding Tanks
- . Public Safety
- . Rental Weatherization
- . One- and Two-Family Homes
- . Ski Lifts/Ski Tows