

# 165-SAFETY & PROFESSIONAL SERVICES

Dept #: /014/

Department Name: LEGAL SERVICES AND COMPLIANCE (DLSC)

RDA #	RDA Title	Retention	Disposition	PII
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<u>00017000.</u>	<u>DEPARTMENTAL AUDIT AND INSPECTION NONCONFIDENTIAL REPORTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Records pertain to Department staff inspections and audits of professions and occupations regulated under Wis. Stat. chs. 157 and 440-480, by the Department and its attached boards, for compliance with statutes and rules governing those occupations.

Series includes consent to examine and audit forms, as required for certain professions, and audit reports and findings. Series does not include confidential financial reports of cemetery authorities and preneed sellers as described in Wis. Stat. §§ 157.62(2)(c) and 440.92(6)(d).

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

"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.

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

<u>00018000.</u>	<u>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 Wis. Stat. chs. 157 and 440-480 against whom an attached 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 Wis. Stat. § 146.82.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

"Closed" means the date on which any monitoring required by an attached Board order expires.

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

<u>00021A00.</u>	<u>DISCIPLINARY / FORMAL HEARING FILES-OTHER THAN MEDICAL, PRIVATE</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Series includes official records which document the disciplinary/formal hearing process involving licensees regulated under Wis. Stat. chs. 101, 145, 157, 167 and 440-480 other than Medical Examining Board, Private Detectives, who are directly licensed by the Department of Safety and Professional Services, and Nursing Home Administrators Examining Board.

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 Wis. Stat. ch. 146.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

"Closed" means date of final decision and order or completion of appeal process, if appealed.

RETENTION: EVENT (Closed) + 10 years and destroy confidential

<u>00022000.</u>	<u>DHA DISCIPLINARY / HEARING CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Series includes official records which documents the disciplinary/formal hearing process for credential holders under Wis. Stat. chs. 101, 145, 157, 167 and 440-480.

Series includes, but is 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 Wis. Stat. § 146.82.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and

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retention of the electronic images, the input record will be destroyed confidentially.

"Closed" means date of final decision and order of completion of appeal process, if appealed.

RETENTION: EVENT (Closed) + 10 years and destroy confidential

<b><u>00023000.</u></b>	<b><u>FINAL DECISIONS AND ORDER</u></b>	<b><u>EVT+60</u></b>	<b><u>SHSW</u></b>	<b><u>Y</u></b>
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Series consists of final decisions, orders, amended orders and stipulations that result from disciplinary actions against credential holders regulated under Wis. Stat. chs. 101, 145, 157, 167 and 440-480.

The official record is maintained in the Department's Division of Legal Services and Compliance. It provides summary information of actions taken relative series in RDA nos. 21A, 22 and 106.

RETENTION: EVENT (Date of Decision or Order) + 60 years and transfer to State Historical Society

<b><u>00025000.</u></b>	<b><u>INFORMAL COMPLAINTS CASE FILES - ROUTINE</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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.

These complaints are logged, screened and when appropriate investigated.

These series includes complaints, investigative reports, correspondence and other information such as health care or business records collected during the investigation.

Box 16: Wis. Stat. § 146.82 and Wis. Stat. § 51.30

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

<b><u>00026000.</u></b>	<b><u>INFORMAL COMPLAINTS CASE FILES - ROUTINE - HOLD STATUS</u></b>	<b><u>EVT+10</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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.

These complaints are logged, screened and when appropriate investigated.

These series includes complaints, investigative reports, correspondence and other information such as health care or business records collected during the investigation.

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.

Box 16: Wis. Stat. § 146.82 and Wis. Stat. § 51.30

RETENTION: EVENT (Closed) + 10 years and destroy confidential

<b><u>00031000.</u></b>	<b><u>PROFESSIONALS ASSISTANT PROCEDURE</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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Records document the monitoring process for credential holders who have been referred to the Professional Assistant Procedure authorized by Wis. Admin. Code ch. SPS 7 due to a chemical dependency which adversely affects the ability to practice professions and occupations regulated under Wis. Stat. chs. 157 and 440-480. Records are protected by a pledge of confidentiality.

Series includes, but is not limited to, agreement for participation and attached statement of facts; therapist and work supervisor reporting forms; consents for release of information; urine/blood screen results; notifications of dismissal or denial; letter of completion.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date of dismissal, denial, or completion) + 5 years and destroy confidential

<b><u>00042000.</u></b>	<b><u>INFORMAL COMPLAINTS NOT INVESTIGATED</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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Series includes, but is not limited to, complaints received against licensees regulated under Wis. Stat. chs. 101, 145, 157, 167 and 440-480, which are screened and not opened because they do not meet the criteria established by Wis. Admin. Code§ SPS 2.035, for determining whether an investigative file should be opened or closed.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. § 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

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"Closed" means the complaint has been screened and determined that an investigation will not be commenced.

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

<u>00106000.</u>	<u>DISCIPLINARY/FORMAL HEARING FILES-MEDICAL EX. BOARD, PRIVATE DE</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 for the Board(s)/professions be transferred to them.

Series includes official records for:

-Medical Examining Board which documents the disciplinary/formal hearing process involving licensees regulated under Wis. Stat. ch. 448, and Wis. Admin. Code ch. Med 1-19.

-Nursing Home Administrator Examining Board which documents-the-disciplinary/formal hearing process involving licensees regulated under Wis. Stat. ch. 456.

-Department of Safety and Professional Services which directly licenses Private Detectives and Private Security Persons regulated under Wis. stat. ch. 440, Subchapter II, and Wis. Admin. Code ch. RL 30-35.

Series includes Department's file including, but not limited to, formal complaint, credential holder'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 patient health care records protected by Wis. Stat. ch. 146.

Retain 10 years after closed and transfer to Wisconsin Historical Society. "Closed" means date of final decision and order or completion of the appeal process.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Closed) + 10 years and transfer to State Historical Society

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

RDA #	RDA Title	Retention	Disposition	PII
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<u>00004000.</u>	<u>LEGISLATIVE FILES</u>	<u>EVT+4</u>	<u>SHSW</u>	<u>Y</u>
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Records document the legislative process for issues affecting the department, boards or councils created under Wis. Stat. ch. 15, and relating to regulation of professions or occupations under Wis. Stat. chs. 101, 145, 157, 167 and 440-480.

Series includes drafts of bills, testimony, fiscal notes and original correspondence related to proposed legislation or enacted legislation.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (End of Legislative Session) + 4 years and transfer to State Historical Society

<u>00005000.</u>	<u>OPINIONS OF ATTORNEY GENERAL</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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Records document formal and informal opinions of the Attorney General addressed to the Department and any of its boards or councils created under Wis. Stat. ch. 15, and relating to regulation of occupations and professions under Wis. Stat. chs. 101,145, 157, 167 and 440-480.

Series also includes correspondence related to requests for opinions of the Attorney General.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date Opinion Rec'd from Atty General) + 5 years and transfer to State Historical Society

RDA #	RDA Title	Retention	Disposition	PII
<u>00013000.</u>	<u>INSTRUCTOR BACKGROUND</u>	<u>CR+4</u>	<u>DEST</u>	
	<p>All for-profit vocational, occupational and technical schools (except cosmetology), located in Wisconsin or elsewhere, which offer vocational courses to Wisconsin residents and the representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Board.</p> <p>This record series includes files of instructor background information submitted by private schools approved under Wis. Stats. S. 38.51(10).</p> <p>RETENTION: EVENT (Creation) + 4 years and destroy</p>			
<u>00014000.</u>	<u>SCHOOL BOND FILES</u>	<u>EVT+20</u>	<u>DEST</u>	
	<p>All for-profit vocational, occupational and technical schools (except cosmetology), located in Wisconsin or elsewhere, which offer vocational courses to Wisconsin residents and the representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Board.</p> <p>This series includes bonds which were filed by private schools approved under Wis. Stats. S. 38.51(10), and which have effective dates of cancellation prior to July 1, 1980, riders for and notices regarding those bonds, requests for reduction in amount of required bond, and all correspondence regarding the bonds. If a claim is filed prior to the expiration of the statute of limitations the file is transferred to record series 292A-00015 (Claims Proceedings Files).</p> <p>These bonds have a 20 year statute of limitations.</p> <p>RETENTION: (Statute of limitations has run) and destroy</p>			
<u>00016000.</u>	<u>CATALOGS - STATE</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	<p>Private for-profit and certain non-profit educational institutions must be authorized by the Educational Approval Board to do business in Wisconsin.</p> <p>This series includes catalogs submitted by authorized schools under Wis. Stats. S. 38.51(10).</p> <p>Do not retain after superseded by a third catalog (i.e., retain the current and two previous catalogs at all times).</p> <p>Transfer to record series RDA 6A (School Files-Unapproved) when school closes operation or authorization is withdrawn.</p> <p>RETENTION: EVENT (Superseded by a third catalog) and destroy</p>			
<u>00019000.</u>	<u>SOLICITORS' FILES - ACTIVE</u>	<u>CR+7</u>	<u>DEST</u>	
	<p>All representatives of for-profit vocational, occupational and technical schools (except schools of cosmetology) are required to obtain solicitors' permits from the Educational Approval Board before soliciting enrollments within Wisconsin.</p> <p>This record series includes individual applications for solicitors' permits, references received for individual applicants, Crime Information Bureau checks for individual applicants, correspondence regarding issuance of solicitors' permits and bonding for solicitors.</p> <p>Transfer individual applications and supporting materials (references, CIB checks, correspondence regarding applications) to record series 292A-0000-19B (Solicitors' Files-Inactive) when individual solicitor no longer holds a permit for the school.</p> <p>RETENTION: EVENT (Creation) + 7 years and destroy</p>			
<u>00019A00.</u>	<u>SOLICITOR'S FILES - INACTIVE</u>	<u>CR+7</u>	<u>DEST</u>	
	<p>All representatives of for-profit vocational, occupational and technical schools (except schools of cosmetology) are required to obtain solicitors' permits from the Educational Approval Board before soliciting enrollments within Wisconsin.</p> <p>This series includes applications for solicitors' permits, references received, crime information bureau checks, and correspondence regarding issuance of solicitors' permits for individuals who have held permits in the past.</p> <p>RETENTION: EVENT (Last permit issued or last correspondence sent) + 7 years and destroy</p>			
<u>00022000.</u>	<u>SOLICITORS' BONDS (00022000.)</u>	<u>EVT+20</u>	<u>DEST</u>	
	<p>All representatives of for-profit vocational, occupational and technical schools (except schools of cosmetology) are required to obtain solicitors' permits from the Educational Approval Board before soliciting enrollments within Wisconsin.</p> <p>A surety bond acceptable to the Board is required to accompany all applications for solicitors' permits and all applications for renewal of solicitor's permits if a continuous bond has not been furnished.</p> <p>This records series includes solicitors' bonds which were cancelled prior to July 1, 1980, riders for and notices regarding those bonds, and all correspondence regarding bonds.</p>			

RDA #	RDA Title	Retention	Disposition	PII
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If a claim is filed prior to the expiration of the statute of limitations the file is transferred to record series 292A-00015 (Claims Proceeding Files).

These bonds have a 20 year statute of limitations.

RETENTION: EVENT (Statute of limitations has run) and destroy

<b><u>00022A00.</u></b>	<b><u>SOLICITORS' BONDS (00022A00.)</u></b>	<b><u>EVT+6</u></b>	<b><u>DEST</u></b>	
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All representatives of for-profit vocational, occupational and technical schools (except schools of cosmetology) are required to obtain solicitors' permits from the Educational Approval Board before soliciting enrollments within Wisconsin.

A surety bond acceptable to the Board is required to accompany all applications for solicitors' permits and all applications for renewal of solicitors' permits if a continuous bond has been furnished.

This record series includes solicitors' bonds which were in effect July 1, 1980, riders for and notices regarding those bonds, and all correspondence regarding bonds.

If a claim is file prior to the expiration of the statute of limitations the file is transferred to record series 292A-00015 (Claims Proceedings Files).

These bonds have a 6 year statute of limitations.

RETENTION: EVENT (Statute of limitations has run) and destroy

<b><u>00031000.</u></b>	<b><u>RECORD OF SCHOOL AND SOLICITOR APPLICATIONS UNDER S.38.51 WI. S1 CR+7</u></b>		<b><u>DEST</u></b>	
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All representatives of for-profit vocational, occupational and technical schools (except schools of cosmetology) are required to obtain solicitors' permits from the Educational Approval Board before soliciting enrollments within Wisconsin.

This record series consists of file cards containing records of applications under s. 38.51, Wis. Stats., for schools approvals, course approvals, teaching locations, changes of ownership or control, annual school renewals, original solicitor permits and renewals of solicitor permits.

RETENTION: EVENT (Creation) + 7 years and destroy

<b><u>00033000.</u></b>	<b><u>JOB ANALYSIS MATERIALS</u></b>	<b><u>EVT+1</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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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.

RETENTION: EVENT (Closed) + 1 year and destroy

<b><u>00034000.</u></b>	<b><u>STATE TEST DEVELOPMENT-SUPPORTING DOCUMENTS</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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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 reliability 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).

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

<b><u>00035000.</u></b>	<b><u>STATE TEST DEVELOPMENT-TEST PRODUCT I-WISCONSIN LAW EXAMS</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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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, physician's 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.)

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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.

RETENTION: EVENT (Closed) + 5 years and destroy

<b><u>00036000.</u></b>	<b><u>STATE TEST DEVELOPMENT-TEST PRODUCT II-UNIQUE</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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Series includes examination products developed by the department for the following occupations and profession; 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.

RETENTION: EVENT (Closed) + 5 years and destroy

<b><u>00037000.</u></b>	<b><u>TEST ADMINISTRATION PRODUCTS</u></b>	<b><u>EVT+1</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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.

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

<b><u>00038000.</u></b>	<b><u>STATISTICAL REPORTS AND FORMAL STUDIES OF EXAMS</u></b>	<b><u>EVT</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
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Series includes statistical reports and formal studies of examinations developed by the department for candidates for licensure regulated under Chapters 440-459, Wis. Stats.

Statistical reports include group pass rate reports and school pass rate reports. Studies include studies of factors affecting pass rates, group differences, and effectiveness of testing methods.

Transfer official copy to SHS Library upon receipt. May retain copies for reference purposes only.

RETENTION: EVENT (Closed/terminated/death) and transfer to State Historical Society

<b><u>00039000.</u></b>	<b><u>EXAMINATION CHALLENGES</u></b>	<b><u>EVT+1</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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.

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

<b><u>00040000.</u></b>	<b><u>CONTRACTS FOR EXAMINATION SERVICES</u></b>	<b><u>EVT+6</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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.

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

RDA #	RDA Title	Retention	Disposition	PII
<u>00083000.</u>	<u>USED TEST BOOKLETS</u>	<u>EVT+0/2</u>	<u>DEST</u>	<u>Y</u>
	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.			
	RETENTION: EVENT (Closed) + 2 months and destroy confidential			
<u>00084000.</u>	<u>COMPLETED SURVEY FORMS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	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.			
	RETENTION: EVENT (Closed) and destroy confidential			
<u>00093000.</u>	<u>EXAM MODIFICATION RECORDS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	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.			
	RETENTION: EVENT (Closed) + 6 years and destroy confidential			
<u>00102000.</u>	<u>SCHOOL FILES - APPROVED SCHOOLS</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>N</u>
	This series includes: all private trade, correspondence, business, or technical schools located in Wisconsin or elsewhere, which offers training to Wisconsin residents; all schools offering veterans training in Wisconsin and their courses of instruction that must be approved and inspected by the Educational Approval Program (EAP); and all for-profit vocational, occupational, and technical schools (except schools of cosmetology), located in Wisconsin or elsewhere, which offer vocational courses to Wisconsin residents and representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the EAP under Wis. Stat. § 440.52.			
	This record series includes the general files for schools both approved, unapproved and/or closed under Title 38 U.S.C. or Wis. Stat. § 440.52, or their equivalents. The files for schools which were formerly approved include, but are not limited to, the schools' original applications for approval, applications for renewal, correspondence (except that pertaining to complaints) with or about the school, inspection reports and copies of the official notifications of acceptance of EAP approval by the Department of Safety and Professional Services. Files for schools that have never been approved include general correspondence and memoranda			
	The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20. for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.			
	RETENTION: EVENT (School closes or loses appeal) + 7 years and transfer to State Historical Society			
<u>00103000.</u>	<u>COMPLAINT FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
	All for-profit vocational, occupational and technical schools (except schools of cosmetology), located in Wisconsin or elsewhere, which offer vocational courses to Wisconsin residents and representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Program.			
	This series includes files for complaints received regarding schools approved under Wis. Stat. § 440.52 and include, but are not limited to, related correspondence with and about the school.			
	Retain 7 years from the date the complaint is closed and destroy.			
	The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed [confidentially].			

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Date complaint closed) + 7 years and destroy confidential

<b>00104000.</b>	<b><u>WISCONSIN DIRECTORY OF AUTHORIZED PRIVATE POSTSECONDARY SCH</u></b>	<b><u>EVT</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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This record series title was formerly "Wisconsin Directory of For-Profit Postsecondary Schools." The records series was changed because of expanded jurisdiction to also include certain private non-profit educational institutions.

The Wisconsin Directory of Authorized Private Postsecondary Schools is a listing prepared by the agency of private for-profit and-certain private non-profit educational institutions. It also lists the type of programs offered by the schools which have been authorized by the Educational Approval Program to do business in Wisconsin. This directory is maintained on the Department website and is available to the public.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Upon update to directory) and destroy

<b>00105000.</b>	<b><u>CLAIMS PROCEEDINGS FILES</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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All for-profit vocational, occupational and technical schools (except schools of cosmetology), located in Wisconsin or elsewhere, which offer vocational courses to Wisconsin residents and representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Program.

This record series includes claim forms, data summary cards, notices of hearing, correspondence and other documents from administrative proceedings and litigation regarding student's claims on bonds filed by schools which have since closed.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed [confidentially].

RETENTION: EVENT (Appeal period expiration) + 5 years and destroy confidential

<b>00107000.</b>	<b><u>STUDENT RECORDS FROM CLOSED SCHOOLS</u></b>	<b><u>EVT+6</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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The Educational Approval Program is the repository of last resort for student academic records from licensed private educational institutions when they close.

This record series consists of student academic records from schools which the agency licensed prior to closing. The records are used to provide records only to graduates or former students of the closed school, or other individuals or entities at the written request of the graduate or student. Student records are subject to 6-year retention pursuant to Wis. Admin. Code § 407.02 and are confidential pursuant to Wis. Stat. § 440.52(11).

The student records are first arranged alphabetically by school and then alphabetically by student name within each school. The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed [confidentially].

RETENTION: EVENT (Date of school closing) + 6 years and destroy confidential

<b>00108000.</b>	<b><u>SCHOOL BOND FILES (ACTIVE)</u></b>	<b><u>EVT+6</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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All for-profit vocational, occupational and technical schools (except schools of cosmetology), located in Wisconsin or elsewhere, which offer vocational courses to Wisconsin residents and representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Program.

This series includes bonds which were filed by private schools approved under Wis. Stat. § 440.52 (formerly under Wis. Stat. § 38.51(10) effective as-of July 1, 1980) riders and notices of cancellation for those bonds, requests for reduction in amount of required bond, and all- correspondence regarding the bonds. If a claim is filed prior to the expiration of the statute of limitations the-file is transferred to records series 165-105 (claims proceedings files).

Bonds have a 6-year statute of limitations. Retain 0 years after the statute of limitations has run.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Claim filed) + 6 years and destroy

<b>00110000.</b>	<b><u>SCHOOL RENEWAL APPLICATION AND ATTACHMENTS</u></b>	<b><u>EVT+4</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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Dept #: /105/ Department Name: EXAMINATIONS

RDA #	RDA Title	Retention	Disposition	PII
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All for-profit vocational, occupational and technical schools (except schools of cosmetology), located in Wisconsin or elsewhere, which offer vocational courses to Wisconsin residents and the representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Program.

As a condition for continued approval, schools are required to submit annual applications for renewal of school approval pursuant to Wis. Admin. Code § 404.04(4).

The record series consists of electronic information including attachments for renewals of school approval. The attachments include general information, ownership information and course information regarding each school. The electronic files are stored on a shared drive and the information is updated or deleted as revised information is received from the schools with each renewal cycle.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed.

RETENTION: EVENT (Receipt of initial renewal application) + 4 years and destroy

<u>00111000.</u>	<u>STUDENT TRANSCRIPTS FROM CLOSED SCHOOLS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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The Educational Approval Program is the repository of last resort for student academic records from licensed private educational institutions when they close.

This record series consists of student academic transcripts from schools which the agency licensed prior to closing. The records are used to provide transcripts only to graduates of former students of the closed school, or other individuals or entities at the written request of the graduate or student. transcripts are subject to permanent retention pursuant to Wis. Admin. Code § 407.03 and are confidential pursuant to Wis. Stat. § 440.52(11).

Transcript records are first arranged alphabetically by school and then alphabetically by student name within each school.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed [confidentially].

RETENTION: Permanent

Dept #: /200/ Department Name: POLICY DEVELOPMENT (DPD)

RDA #	RDA Title	Retention	Disposition	PII
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<u>00015000.</u>	<u>PRELICENSE EDUCATION FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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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.

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.

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.

RETENTION: EVENT (Closed) + 2 years and destroy confidential

<u>00081000.</u>	<u>CEMETERY &amp; PRENEED SELLER AUDIT AND INSPECTION REPORTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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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 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.

Dept #: /200/ Department Name: POLICY DEVELOPMENT (DPD)

RDA # RDA Title Retention Disposition PII

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RETENTION: EVENT (Entered into data system) + 5 years and destroy confidential

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. 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.

RETENTION: EVENT (Final determination is issued) + 3 months and destroy

Dept #: /250/ Department Name: PROFESSIONAL CREDENTIAL PROCESSING (DPCP)

RDA # RDA Title Retention Disposition PII

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00043000. BIENNIAL LICENSING RENEWAL APPLICATIONS EVT+4 DEST Y

Series includes renewal applications for credentials regulated under Wis. Stat. chs. 101, 145, J57, 167 and 440-480.

Renewal application notices are sent by the department to credential holders on a scheduled basis. Credential holders renew and pay online through the Department's website or return renewal applications with payments which are receipted in the renewal office of the department or through the lock box in Milwaukee. Some professions are required to execute an affidavit on the reverse side of the renewal application verifying the completion of required continuing education credits, social security or federal employer identification number, information regarding convictions, name of immediate supervisor, etc. Renewal applications are retained in the Renewal Office of the Department.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date of application approval or denial) + 4 years and destroy confidential

00044000. CREDENTIALING CASE FILES EVT+5 DEST Y

Credentialing Case Files containing all materials and information to request a credential to practice in the State of Wisconsin, for credentials provided for in Wisconsin Statutes chapters 101 - Regulation of Industry, Buildings and Safety, 145 - Plumbing and Fire Protection Systems and Swimming Pool Plan Review, 167 - Safeguard of Persons and Property, and chapters 440 to 480 which include, but are not limited to, professions in accounting, barbering and cosmetology, real estate, mental health, nursing and medical fields. The file documents the individual's compliance with the requirements for a credential and with the Department's credentialing processes and procedures. Most credentials are renewed on a biennial basis.

Information contained in this record series include 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. Records may also include a variety of health care records protected under Wis. Stat. §§ 146.82 and 51.30.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed [confidentially].

RETENTION: EVENT (Date license granted) + 5 years and destroy confidential

00052000. PHARMACY ESTABLISHMENT PERMIT CASE FILES EVT+5 DEST Y

Pharmacy Establishment Permit Case Files contain all information and materials required by the Pharmacy Examining Board pursuant to Wis. Stat. § 450.06, for granting permits to operate a pharmacy at a specific location pursuant to Wis. Admin. Code ch. Phar 6. Files remain open and active for as long as the pharmacy remains in business.

RDA #	RDA Title	Retention	Disposition	PII
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Files include, but are not limited to, 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) Closing affidavit, indicating pharmacy closure, change of ownership, or change of location; 10) Significant documentation verifying compliance with state statutes and administrative codes.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

"Closed" means expiration of permit or date of notification to the Department that the pharmacy is out of business.

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

<b><u>00053000.</u></b>	<b><u>DRUG DISTRIBUTORS PRODUCT CATALOGUE</u></b>	<b><u>EVT+1</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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.

RETENTION: EVENT (Date of credential) + 1 year and destroy confidential

<b><u>00064000.</u></b>	<b><u>INCOMPLETE AND WITHDRAWN CREDENTIALING CASE FILES</u></b>	<b><u>EVT+4</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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Incomplete or withdrawn application files contain partial information and materials for a credential by the Department of Safety and Professional Services and one of its boards or examining boards pursuant to Wis. Stat. chs. 101, 145, 157, 167, 440-480, and 961. The files may include some of the following items: Completed and signed application; Documentation of qualifications, including proof of education and experience; Copy of malpractice complaint(s); Copy of criminal records reports and relevant court judgments; Drug treatment evidence; Verification of licensure from other states; Applicant's photo; Applicant testing/exam materials unless held by the exam provider; Correspondence concerning application materials and other documentation; and/or Notice of examination failure.

Credentialing case files are determined to be incomplete when an applicant does not provide all required documentation within one year of the date of the department's last request. Applicants may withdraw their applications upon written request.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Event = Date incomplete determination made or withdrawn

Confidential pursuant to Wis. Stat. §§ 73.0301(2)(c), 440.12, 440.03(13), and Wis. Admin. Code § SPS 9.04(2).

RETENTION: EVENT + 4 years and destroy confidential

<b><u>00085000.</u></b>	<b><u>DENIED APPLICATION FILES</u></b>	<b><u>EVT+4</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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 Wis. Stat. chs. 101, 145, 157, 167, 440-480, and 961. 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: Completed and signed application; Documentation of qualifications, including proof of education and experience; Copy of malpractice complaint(s); Copy of criminal records reports and relevant court judgments; Drug treatment evidence; Verification of licensure from other states; Applicant's photo; Applicant testing/exam materials unless held by the exam provider; Correspondence concerning application materials and other documentation; Notice of examination failure; Notice of intent to deny; Notice of denial; Class 1 hearing information materials.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Confidential pursuant to Wis. Stat. §§ 73.0301 (2)(c), 440.12, 440.03(13), and Wis. Ad min. Code § SPS 9.04(2).

RETENTION: EVENT (Date of denial) + 4 years and destroy confidential

<b><u>00092000.</u></b>	<b><u>CONTROLLED SUBSTANCES BOARD SPECIAL USE AUTHORIZATION CASE I</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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Controlled Substances Board Special Use Authorization Case Files include all materials required by the Controlled Substances Board

Dept #: /250/ Department Name: PROFESSIONAL CREDENTIAL PROCESSING (DPCP)

RDA #	RDA Title	Retention	Disposition	PII
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to issue Special Use Authorizations pursuant to Wis Stat. § 961.335.

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.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

"Closed" means the special use authorization has expired and failed to be renewed.

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

<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.

RETENTION: EVENT (Date license issued) + 3 years and destroy confidential

<u>00243B00.</u>	<u>CREDENTIAL RECORDS - APPLICATIONS DENIED DUE TO DEPARTMENT OF</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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This record series contains correspondence for the denial, nonrenewal, and revocation of occupational credentials issued by the WI Department of Safety and Professional Services (DSPS) based on nonpayment of delinquent state taxes owed to the WI Department of Revenue (DOR) by the credential applicant or credential holder per Wis. Stat. § 73.0301. Occupational credentials include those issued under Wis. Stat. chs. 440-480, 101,145, and 167. Communication occurs as outlined in Wis. Stat. § 73.0302(2) and Wis. Admin. Code ch. SPS 9.

The retention schedule for these records is intended to extend after the action (denial, revocation, or clearance) so the records are available for possible appeals with DOR or DSPS within the established timeframes.

Information contained in this record series includes DOR Wisconsin tax numbers and may include social security or federal employment identification numbers. Records also include applicant name, 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.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Date of action means DSPS denial, revocation, or DOR clearance.

RETENTION: EVENT (Date of action) + 3 months and destroy confidential

Dept #: /400/ Department Name: INDUSTRY SERVICES (DIS)

RDA #	RDA Title	Retention	Disposition	PII
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<u>00050000.</u>	<u>MINE SAFETY TRAINING RECORDS</u>	<u>CR+4</u>	<u>DEST</u>	<u>N</u>
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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.

RETENTION: EVENT (Creation) + 4 years and destroy

<u>00101000.</u>	<u>PUBLIC SECTOR BUILDING SAFETY AND HEALTH INSPECTION FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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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 lime 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 lime when the old inspection is replaced by the more

RDA #	RDA Title	Retention	Disposition	PII
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recent public health and safety inspection report and applicable papers.

Building data contained in this record series includes: Inspection date; internal office file number; owner's name and address; occupancy inspected, occupancy address; 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).

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

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

<b><u>00122000.</u></b>	<b><u>BUILDING PLANS/ARCHITECTS SPECIFICATIONS AND RELATED CORRESPC</u></b>	<b><u>EVT+3</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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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 Admin. Code § SPS 361.30 (Plan Review and Approval) and Wis. Admin. Code chs. SPS 320 and 326.

Wisconsin Admin. Code § SPS 361.30 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. Specific records include general building plans, structural plans and/or heating and ventilating plans with calculations.

Wisconsin Admin. Code chs. SPS 320 and 326 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.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

Access to plans defined under Wis. Stat. § 101.12(5)(a) may be protected under Wis. Stat. § 101.12(5)(b) and (c).

RETENTION: EVENT (Plan approved, denied, or withdrawn) + 3 years and destroy confidential

<b><u>00148000.</u></b>	<b><u>PLUMBING, SWIMMING POOL AND WATER ATTRACTION PLANS</u></b>	<b><u>EVT+3</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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Records are created upon receipt of general plumbing, swimming pool and beach bathhouse plans and specifications submitted for review and approval.

Records series consists of:

- \*General plumbing plans, swimming pool plans and beach bathhouse plans
- \*Calculations and specifications filed under Wis. Admin. Code § SPS 382.20, Plan Review and Approval, or
- \*Petition for variance submittals under Wis. Admin. Code ch. SPS 303,
- \*Other related materials as needed.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Plan approval) + 3 years and destroy confidential

<b><u>00149000.</u></b>	<b><u>PRIVATE SEWAGE SYSTEM PLANS</u></b>	<b><u>EVT+3</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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Records are created upon receipt of private sewage systems plan, petition for variance or groundwater monitoring reports.

Records series consists of design drawings, specifications, calculations, soil evaluations submitted under Wis. Admin. Code ch. SPS 385, groundwater monitoring reports submitted under Wis. Admin Code ch. SPS 385, and other related materials as needed.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Plan approval) + 3 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
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<u>00171000.</u>	<u>WISCONSIN UNIFORM BUILDING PERMIT APPLICATION FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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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, owner/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.

RETENTION: EVENT (Date permit issued) + 3 years and destroy confidential

<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.

RETENTION: EVENT (Date entered into computer) + 5 years and destroy confidential

<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.

RETENTION: EVENT (Date permit issued) + 5 years and destroy confidential

<u>00221000.</u>	<u>PRODUCT APPROVAL FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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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.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat.

§§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date the submitted information is acted upon (approved, denied, expired, rescinded, or adopted in code) + 5 years and destroy

<u>00230000.</u>	<u>INSPECTION REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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This record series contains information related to the inspection of objects the Division is required to regulate under Safety and Professional Services Administrative Code. 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.

Retention period starts when an inspection report is replaced by the newest inspection report. Work papers, correspondence and orders (if applicable) are completed and received from inspectors. It is at that time that the old inspection report papers may be destroyed and replaced by the newest inspection report.

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, 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 and any other pertinent information relating to the inspection process.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RDA #	RDA Title	Retention	Disposition	PII
RETENTION: EVENT (Replaced by newest inspection report) + 3 years and destroy confidential				
<u>00232000.</u>	<u>PETITION AND PLAN REVIEW TRACKING</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
<p>Records contain information 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.</p> <p>The information tracked includes: owner name, submitter name and address, date submitted, inspection or review dates, approval or denial dates, occupancy, fees, and code sections petitioned.</p> <p>RETENTION: EVENT (Date of approval or denial) + 20 years and destroy confidential</p>				
<u>00234000.</u>	<u>NON-BUILDING CORRESPONDENCE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
<p>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.</p> <p>RETENTION: EVENT (Last review activity) + 3 years and destroy confidential</p>				
<u>00235000.</u>	<u>COMPLETION STATEMENTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
<p>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.</p> <p>Multiple Compliance Statements may be submitted to the division for a project before the final version is submitted attesting to substantial compliance. Once SPS 361.40(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.</p> <p>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.</p> <p>The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.</p> <p>RETENTION: EVENT (Received) + 3 years and destroy confidential</p>				
<u>00242000.</u>	<u>FIRE DEPARTMENT ADMINISTRATIVE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
<p>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. Records in the series may include, but are not limited to:</p> <ol style="list-style-type: none"> <li>1. Certification forms indicating inspections completed to receive 2% Fire Dues.</li> <li>2. Correspondence on routine fire inspection issues with fire departments.</li> <li>3. Contracts between municipalities and fire departments to perform fire suppression and inspection work.</li> </ol> <p>Information in the series may include, but is not limited to:</p> <ol style="list-style-type: none"> <li>1. Names, addresses, telephone numbers of municipal clerks and fire department personnel.</li> <li>2. Compliance status of fire departments on doing necessary fire inspections in former years.</li> <li>3. Terms of contracts between fire departments and municipalities.</li> <li>4. Other related fire program information.</li> </ol> <p>RETENTION: EVENT (Closed) + 3 years and destroy confidential</p>				
<u>00246000.</u>	<u>THREE YEAR BOILER, PRESSURE VESSEL, ETC., INSPECTION REPORTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
<p>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, and repair inspections are required or as requested.</p> <p>Record retention relates to the time period until the next inspection report, work papers, correspondence and order (if applicable) are completed and received from inspectors for heating boilers, pressure vessels, group I refrigeration objects, anhydrous ammonia</p>				

systems and nurse tanks.

Information contained in this electronic record series includes but is not limited to: inspection date; registration number; internal office file number; owner's name and address; compliance date; person's name to whom violation were explained to; inspector's name; inspector region number; Wisconsin Administrative Code number and violation explanation with expected action (if applicable); and specific object description information.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Replaced by newest inspection report) + 6 years and destroy confidential

<u>00247000.</u>	<u>PUBLIC SAFETY OBJECTS CORRESPONDENCE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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This record series contains information from the paper or equivalent correspondence file for all types of ski tows, amusement rides and mine/pits/quarries. The file is used to record information about the object pertaining to location, owner and other names, dates, etc., as needed for programmatic purposes.

Records in these files include letters sent to owners pertaining to the installation and/or operation, required maintenance, repairs (from orders) and removal (as applicable) of all types of ski tows, amusement rides and mine/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; and other correspondence and data as needed.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Last customer contact) + 3 years and destroy confidential

<u>00248000.</u>	<u>SANITARY PERMITS</u>	<u>EVT+3</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. Admin. Code § SPS 383.06(2) and Wis. Stat. §§ 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. Projects are required to be completed within 2 years or a new permit has to be issued.

Data retained for this record series includes: Type of system and new or replacement system.

The official record may be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Date of permit issuance) + 3 years and destroy confidential

<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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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.

RETENTION: EVENT (Date of receipt) + 2 years and destroy