

165-SAFETY & PROFESSIONAL SERVICES

RDA #	RDA Title	Retention	Disposition	PII
<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Retain until outdated or closed and destroy.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 "Outdated" means the cards were created before January 1, 1970 and the credential holder has never renewed the credential on or after January 1, 1970.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>RETENTION: EVENT (Closed) + 5 years and transfer to State Historical Society</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 include 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> <p>RETENTION: EVENT (Closed) + 3 years and destroy confidential</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> <p>RETENTION: EVENT (Closed) + 2 years and destroy confidential</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 program.</p> <p>RETENTION: EVENT (Closed) + 2 years and destroy confidential</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 include 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 #165-00080)</p> <p>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.</p> <p>RETENTION: EVENT (Closed) + 5 years and destroy confidential</p>			
<u>00018000.</u>	<u>BUR/DEPT. DISCIPLINARY MONITORING CASE FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
	<p>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.</p> <p>Series includes monitoring reports received from treatment providers, therapists and work supervisors required pursuant to board</p>			

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.

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

<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.

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

<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. "Closed" means date of final decision and order or completion of the appeal process.

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

<u>00021A00.</u>	<u>ALL DISCIPLINARY-FORMAL HEARING FILES-OTHER THAN MEDICAL, PRIVATE DETECTIVES & PRIVATE SECURITY PERSONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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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.

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.

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

<u>00022000.</u>	<u>DOE 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 Chapters 157 and 440-480, Wis. Stats. Files are maintained in the Division of Enforcement.

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.

Retain 10 years after closed and destroy. "Closed" means date of final decision and order of completion of appeal process, if appealed.

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

<u>00042000.</u>	<u>INFORMAL COMPLAINTS NOT INVESTIGATED</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Series includes complaints received against licensees regulated under Chapters 157 and 440-480, Wis. Stats., which are screened and

not opened because 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.

Series includes the written complaint against the licensee and a computer printout of licensee's licensing records.

Retain 5 years after closed and destroy. "Closed" means the case has been screened and determined that an investigation will not be commenced.

RETENTION: EVENT (Closed) + 5 years and destroy

<u>00043000.</u>	<u>BIENNIAL LICENSING RENEWAL APPLICATIONS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Series includes renewal applications for certification of professions and occupations regulated under Chapters 157 and 440-480, Wis. Stats.

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.

Retain 4 fiscal years after closed and destroy. "Closed" means the date of receipt.

RETENTION: EVENT (Closed) + 4 years and destroy confidential

<u>00064000.</u>	<u>INCOMPLETE, WITHDRAWN LICENSING CASE FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Series includes incomplete or withdrawn licensing case files for applicants for licensure pursuant to Chpt. 163 & 440-459, Wis. Stats.

Files includes partial information and materials which do not fulfill requirements for licensure.

RETENTION: EVENT (Applicant's right to a hearing or court review has been terminated) + 4 years and destroy confidential

<u>00082000.</u>	<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.

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

<u>00085000.</u>	<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.

RETENTION: EVENT (Date applicant's right to hearing or court review has terminated) + 4 years and destroy confidential

<u>00086000.</u>	<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

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available to the public.

Retain 1 year after computer matching is accomplished; then destroy.

RETENTION: EVENT (Computer match verified) + 1 year and destroy confidential

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.

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

00092000.	<u>CONTROLLED SUBSTANCES BOARD SPECIAL USE AUTHORIZATION CASE I</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. 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.

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

Dept #: /014/ Department Name: LEGAL SERVICES AND COMPLIANCE (DLSC)

RDA #	RDA Title	Retention	Disposition	PII
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00023000.	<u>FINAL DECISIONS AND ORDERS</u>	<u>EVT+60</u>	<u>SHSW</u>	<u>Y</u>
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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 RDAs #19, 20, 21 and 22.

Retain 60 years and transfer to State Historical Society.

RETENTION: EVENT (Entered into data system) + 60 years and transfer to State Historical Society

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

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

Dept #: /014/ Department Name: LEGAL SERVICES AND COMPLIANCE (DLSC)

RDA # RDA Title Retention Disposition PII

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

00027000. **DOE'S/FORMAL HEARING CASE FILES-MEDICAL, NURSING HOME ADMINIST** **EVT+10** **SHSW** **Y**

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.

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, 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.

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

00106000. **DISCIPLINARY/FORMAL HEARING FILES-MEDICAL EX. BOARD, PRIVATE DE** **EVT+10** **SHSW** **Y**

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

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.

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

RDA #	RDA Title	Retention	Disposition	PII
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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 legislative session.

RETENTION: EVENT (Closed) + 4 years and transfer to State Historical Society

<u>0005000.</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 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.

RETENTION: EVENT (Closed) + 5 years and transfer to State Historical Society

<u>00031000.</u>	<u>PROFESSIONALS ASSISTANT PROCEDURE - ESSENTIAL DOCUMENTS/NON</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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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.

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

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

RDA #	RDA Title	Retention	Disposition	PII
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<u>00055000.</u>	<u>AUDIOTAPES OF HEARING TESTIMONY NOT TRANSCRIBED</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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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.

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

Dept #: /103/ Department Name: MANAGEMENT SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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<u>00030000.</u>	<u>MASTER COMPUTER FILE-QUARTERLY DATA</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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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 the Applicant Tracking System (ATS), Credential Holder System (CHS), Complaint Tracking System (CTS), Word Processing and e-mail. Tapes represent a quarterly copy of the components of the computer system used in the department for the credentialing and regulation of professions and occupations regulated under Chapters 157 and 440-480, Wis. Stats.

Dept #: /103/ Department Name: MANAGEMENT SERVICES

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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Tapes are used as a backup for documents and data destroyed under other RDAs 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.

RETENTION: EVENT (Closed/terminated/death) + 2 years and destroy

Dept #: /105/ Department Name: EXAMINATIONS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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<u>00003000.</u>	<u>HEARING FILES</u>	<u>EVT+5</u>	<u>DEST</u>	
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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.

This record series is the official record of all contested case hearings held under Wis. Stats. 38.51 by the agency or its designee, including, but not limited to, transcripts (if prepared), copies of notices of hearing, exhibits, agency decisions and related correspondence.

The files are organized by docket numbers, which are assigned in numeric order within the following three groups; student (St-1), Solicitor (Sol-) and School (Sch-).

RETENTION: EVENT (Time period for all appeal has expired) + 5 years and destroy

<u>00004000.</u>	<u>RECORDING OF HEARINGS</u>	<u>EVT+0/2</u>	<u>DEST</u>	
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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.

This series consists of audio recordings of hearings held by the Educational Approval Board under Wis. Stats. S. 38.51.

RETENTION: EVENT (Time period for appeals has expired) + 2 months and destroy

<u>00007000.</u>	<u>SCHOOL APPLICATIONS FOR RENEWAL OF APPROVAL</u>	<u>CR+4</u>	<u>SHSW</u>	
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Courses to Wisconsin residents and representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Board. As a condition for continued approval, the schools are required to submit annual applications for renewal if the school approval (Form EAB 1.07 or its equivalent) to the agency.

This record series includes applications for renewal of approval which has been superseded.

This series was discontinued in 1986 and the materials which would have been inserted into this series were incorporated into record series 292A-0000-6 (School Files-Approved).

RETENTION: EVENT + 4 years and transfer to SHS

<u>00012000.</u>	<u>SCHOOL FINANCIAL STATEMENTS</u>	<u>CR+4</u>	<u>SHSW</u>	
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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 Board. As a condition for continued approval, the schools are required to submit annual statements to the agency.

This series includes financial statements for all schools approved under Wis. Stats. S. 38.51(10)

RETENTION: EVENT (Creation) + 4 years and transfer to SHS

<u>00013000.</u>	<u>INSTRUCTOR BACKGROUND</u>	<u>CR+4</u>	<u>DEST</u>	
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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.

This record series includes files of instructor background information submitted by private schools approved under Wis. Stats. S. 38.51(10).

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Creation) + 4 years and destroy

<u>00014000.</u>	<u>SCHOOL BOND FILES</u>	<u>EVT+20</u>	<u>DEST</u>	
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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.

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).

These bonds have a 20 year statute of limitations.

RETENTION: (Statute of limitations has run) and destroy

<u>00016000.</u>	<u>CATALOGS - STATE</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Private for-profit and certain non-profit educational institutions must be authorized by the Educational Approval Board to do business in Wisconsin.

This series includes catalogs submitted by authorized schools under Wis. Stats. S. 38.51(10).

Do not retain after superseded by a third catalog (i.e., retain the current and two previous catalogs at all times).

Transfer to record series RDA 6A (School Files-Unapproved) when school closes operation or authorization is withdrawn.

RETENTION: EVENT (Superseded by a third catalog) and destroy

<u>00019000.</u>	<u>SOLICITORS' FILES - ACTIVE</u>	<u>CR+7</u>	<u>DEST</u>	
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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 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.

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.

RETENTION: EVENT (Creation) + 7 years and destroy

<u>00019A00.</u>	<u>SOLICITOR'S FILES - INACTIVE</u>	<u>CR+7</u>	<u>DEST</u>	
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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 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.

RETENTION: EVENT (Last permit issued or last correspondence sent) + 7 years and destroy

<u>00021000.</u>	<u>DUPLICATE SOLICITOR'S PERMITS</u>	<u>EVT</u>	<u>DEST</u>	
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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 series includes duplicate copies of solicitors' permits which are kept in chronological order by month. These copies are used to send renewal notices to the solicitors when their permits expire.

RETENTION: EVENT (Renewal notices have been sent to the solicitors) and destroy

<u>00022000.</u>	<u>SOLICITORS' BONDS</u>	<u>EVT+20</u>	<u>DEST</u>	
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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 solicitor's permits if a continuous bond has not been furnished.

This records series includes solicitors' bonds which were cancelled prior to July 1, 1980, riders for and notices regarding those bonds,

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and all correspondence regarding 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 Proceeding Files).

These bonds have a 20 year statute of limitations.

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

<u>00022A00.</u>	<u>SOLICITORS' BONDS</u>	<u>EVT+6</u>	<u>DEST</u>	
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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

<u>00031000.</u>	<u>RECORD OF SCHOOL AND SOLICITOR APPLICATIONS UNDER S.38.51 WI. S1</u>	<u>CR+7</u>	<u>DEST</u>	
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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

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

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

<u>00035000.</u>	<u>STATE TEST DEVELOPMENT-TEST PRODUCT I-WISCONSIN LAW EXAMS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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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);

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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.

RETENTION: EVENT (Closed) + 5 years and destroy

00035A00. **LEGISLATION FILES** **CR+7** **SHSW**

The Educational Approval Board and its predecessors have since 1944 approved and inspected schools and courses of instruction for the training of veterans authorized under various federal laws. Since 1957, the Agency has licensed 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 courses of instruction offered by these schools. Since 1964 the Agency has licensed private school agents who solicit enrollments within Wisconsin.

This record series includes drafts of proposed legislation concerning the agency and copies of correspondence regarding the proposals.

RETENTION: EVENT (Last correspondence) + 7 years and transfer to SHS

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 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

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.

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

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, 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

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.

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	RETENTION: EVENT (Closed) + 1 year and destroy confidential			
<u>00040000.</u>	<u>CONTRACTS FOR EXAMINATION SERVICES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	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			
<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>

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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 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].

RETENTION: EVENT (Date complaint closed) + 7 years and destroy confidential

<u>00104000.</u>	<u>WISCONSIN DIRECTORY OF AUTHORIZED PRIVATE POSTSECONDARY SCH</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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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

<u>00105000.</u>	<u>CLAIMS PROCEEDINGS FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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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

<u>00107000.</u>	<u>STUDENT RECORDS FROM CLOSED SCHOOLS</u>	<u>EVT+6</u>	<u>DEST</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 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

<u>00108000.</u>	<u>SCHOOL BOND FILES (ACTIVE)</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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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

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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

00110000. **SCHOOL RENEWAL APPLICATION AND ATTACHMENTS** **EVT+4** **DEST** **N**

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

00111000. **STUDENT TRANSCRIPTS FROM CLOSED SCHOOLS** **P** **PERM** **Y**

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)

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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 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.

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

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

RDA #	RDA Title	Retention	Disposition	PII
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Dept #: /250/ Department Name: PROFESSIONAL CREDENTIAL PROCESSING (DPCP)

RDA #	RDA Title	Retention	Disposition	PII
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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 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.

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

00053000. DRUG DISTRIBUTORS PRODUCT CATALOGUE EVT+1 DEST Y

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 and destroy confidential.

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

00094000. PHARMACY INTERNSHIP CASE FILES EVT+6 DEST Y

On January 1, 2002, the Pharmacy Internship Board function transferred to the Department of Safety and Professional Services (DSPA) under the authority of the Pharmacy Examining Board (Chapter 450, Wis. Stats.) This RDA covers internship case files created prior to the transfer to DSPA. Under the new law, the Dean of the Pharmacy School or the intern's managing pharmacist will verify that the 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.

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

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

RDA # RDA Title Retention Disposition PII

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.

RETENTION: EVENT (Creation) + 4 years and destroy

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
- 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)

RETENTION: EVENT (Creation) + 5 years and destroy

00122000. BUILDING PLANS/ARCHITECTS SPECIFICATIONS AND RELATED CORRESPC EVT+3 DEST Y

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 separate 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.

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

00138000. ADMINISTRATIVE RULES-CODE DEVELOPMENT BACKGROUND MATERIAL CR+15 DEST N

The record series contains administrative rule-making background material used for the development of Wisconsin Administrative Code, Safety and Buildings Division.

RDA #	RDA Title	Retention	Disposition	PII
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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.

RETENTION: EVENT (Creation) + 15 years and destroy

<u>00148000.</u>	<u>PLUMBING, 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 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

<u>00149000.</u>	<u>PRIVATE SEWAGE SYSTEM PLANS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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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

<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>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>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

RDA #	RDA Title	Retention	Disposition	PII
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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.

RETENTION: EVENT (Entered into data system) + 5 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+4</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.

RETENTION: EVENT (Approval either: closed, denied, expired, rescinded, adopted in code) + 4 years and destroy

<u>00227000.</u>	<u>MANUFACTURED HOME FILES</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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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.

RETENTION: EVENT (Dispose at end of year 2044) + 50 years and destroy confidential

<u>00227A00.</u>	<u>MANUFACTURED HOME CONSUMER COMPLAINTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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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 to the complaint tracker process.

RETENTION: EVENT (Closed/terminated/death) + 3 years and destroy confidential

<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. These records include and are not limited to the following program areas: Amusement Ride and Ski Lift, Building, Elevator, Power Boiler and Refrigeration

RDA #	RDA Title	Retention	Disposition	PII
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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
- 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

RETENTION: EVENT (Replaced by newest inspection report) + 3 years and destroy confidential

<u>00232000.</u>	<u>PETITION AND PLAN REVIEW TRACKING-ELECTRONIC FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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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

RETENTION: EVENT (Closed) + 20 years and destroy

<u>00234000.</u>	<u>NON-BUILDING CORRESPONDENCE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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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.

RETENTION: EVENT (Last review activity) + 3 years and destroy confidential

<u>00235000.</u>	<u>COMPLETION STATEMENTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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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 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.

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.

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 (Received) + 3 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
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<u>00240000.</u>	<u>CREDENTIAL EXAMINATION RECORDS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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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

<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.

RETENTION: 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.

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

<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 front end 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., pertaining to credential applicants. Core data maintained includes:

RDA #	RDA Title	Retention	Disposition	PII
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- 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.

RETENTION: EVENT (Last credential expiration date) + 6 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 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 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.

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.

RETENTION: EVENT (Entered into data system) + 3 months and destroy confidential

<u>00246000.</u>	<u>THREE YEAR BOILER, PRESSURE VESSEL, ETC., INSPECTION REPORTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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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.

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 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.

RDA # RDA Title Retention Disposition PII

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

00248000. SANITARY PERMITS EVT+3 DEST Y

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

00248A00. SANITARY PERMITS ELECTRONIC FILES CR+5 DEST N

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

RETENTION: EVENT (Creation) + 5 years and destroy

00270000. CROSS CONNECTION CONTROL ASSEMBLY REGISTRATION AND TEST REP EVT+2 DEST N

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

00358000. COMPLAINT TRACKER DISPOSED REPORTS EVT+0/3 DEST Y

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

