165-SAFETY & PROFESSIONAL SERVICES

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

RDA #	RDA Title	Retention	Disposition	PII

00017000. **DEPARTMENTAL AUDIT AND INSPECTION NONCONFIDENTIAL REPORTS** **EVT+5** **DEST** **Y**

Records pertain to Department staff inspections and audits of professions and occupations regulated under Wis. Stat. chs. 157 and 440-480, by the Department and its attached boards, for compliance with statutes and rules governing those occupations.

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

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

“Closed” means summary information including date of audit or inspection, person who performed audit, account numbers, bank name, any violation discovered and citation of violation are entered into data system.

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

00018000. **DISCIPLINARY MONITORING CASE FILES** **EVT+7** **DEST** **Y**

These records consist of disciplinary monitoring files for credential holders regulated under Wis. Stat. chs. 157 and 440-480 against whom an attached Board or the Department has taken formal disciplinary actions.

Series includes monitoring reports received from treatment providers, therapists and work supervisors required pursuant to Board orders; correspondence relating to action taken against a credential holder; other documents relating to discipline imposed by the Board. Some of these materials are confidential under Wis. Stat. § 146.82.

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

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

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

00021A00. **DISCIPLINARY / FORMAL HEARING FILES-OTHER THAN MEDICAL, PRIVATE** **EVT+10** **DEST** **Y**

Series includes official records which document the disciplinary/formal hearing process involving licensees regulated under Wis. Stat. chs. 101, 145, 157, 167 and 440-480 other than Medical Examining Board, Private Detectives, who are directly licensed by the Department of Safety and Professional Services, and Nursing Home Administrators Examining Board.

Series includes Board's disciplinary/hearing file while which includes, but is not limited to, formal complaint, licensee's answer to the complaint, police reports, interrogatories, depositions, exhibits, transcripts, motions, briefs, objections, attorney notes, proposed decision, final decision and order, correspondence and monitoring reports pursuant to order, and confidential treatment records protected by Wis. Stat. ch. 146.

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

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

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

00022000. **DHA DISCIPLINARY / HEARING CASE FILES** **EVT+10** **DEST** **Y**

Series includes official records which documents the disciplinary/formal hearing process for credential holders under Wis. Stat. chs. 101, 145, 157, 167 and 440-480.
Series includes, but is not limited to, formal complaint, respondent's answer to the complaint, interrogatories, depositions, exhibits, transcripts, motions, briefs, objections, attorney notes, proposed decision, final decision and order, correspondence and monitoring reports pursuant to order and confidential treatment records protected by Wis. Stat.§ 146.82.

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

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

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

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

00023000. FINAL DECISIONS AND ORDER EVT+60 SHSW Y

Series consists of final decisions, orders, amended orders and stipulations that result from disciplinary actions against credential holders regulated under Wis. Stat. chs. 101, 145, 157, 167 and 440-480.

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

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

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

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. INFORMAL COMPLAINTS CASE FILES - ROUTINE - HOLD STATUS EVT+10 DEST Y

The Division receives complaints from a variety of sources against credential holders regulated under Wis. Stat. chaps. 101, 145, 157, and 440-480. These complaints fall under the jurisdiction of the department or an attached board.

These complaints are logged, screened and when appropriate investigated.

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

This series differs from RDA 25 in that complaints and related materials involve credential holders whose credentials are expired and flagged in the computer system for review if the credential holder attempts to renew the credential.

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

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

00031000. PROFESSIONALS ASSISTANT PROCEDURE EVT+5 DEST Y

Records document the monitoring process for credential holders who have been referred to the Professional Assistant Procedure authorized by Wis. Admin. Code ch. SPS 7 due to a chemical dependency which adversely affects the ability to practice professions and occupations regulated under Wis. Stat. chs. 157 and 440-480. Records are protected by a pledge of confidentiality.

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

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

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

00042000. INFORMAL COMPLAINTS NOT INVESTIGATED EVT+5 DEST Y

Series includes, but is not limited to, complaints received against licensees regulated under Wis. Stat. chs. 101, 145, 157, 167 and 440-480, which are screened and not opened because they do not meet the criteria established by Wis. Admin. Code§ SPS 2.035, for determining whether an investigative file should be opened or closed.

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

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

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

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

00004000. LEGISLATIVE FILES EVT+4 SHSW Y

Records document the legislative process for issues affecting the department, boards or councils created under Wis. Stat. ch. 15, and relating to regulation of professions or occupations under Wis. Stat. chs. 101, 145, 157, 167 and 440-480.
Series includes drafts of bills, testimony, fiscal notes and original correspondence related to proposed legislation or enacted legislation.

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

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

00005000. OPINIONS OF ATTORNEY GENERAL EVT+5 SHSW Y

Records document formal and informal opinions of the Attorney General addressed to the Department and any of its boards or councils created under Wis. Stat. ch. 15, and relating to regulation of
occupations and professions under Wis. Stat. chs. 101,145, 157, 167 and 440-480.

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

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

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

RDA #	RDA Title	Retention	Disposition	PII

00013000. INSTRUCTOR BACKGROUND — EVT+4 — DEST — Y

This record series includes files of instructor background information submitted by private schools approved under Wis. Stat. § 38.51(10). The files may include, but are not limited to, instructor resumes and background checks.

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 Program.

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 closure) + 4 years and destroy confidential

00014000. SCHOOL BOND FILES — EVT+20 — DEST — N

This series includes bonds which were filed by private schools approved under Wis. Stat. § 440.52, riders for and notices regarding those bonds, 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 105 (Claims Proceedings Files).

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: (date bond expires) + 20 years and destroy

00015000. PRELICENSE EDUCATION FILES — EVT+10 — DEST — N

The Department licenses certain schools or approves schools, educational programs, courses and instructors to provide education relating to occupations and professions regulated under Wis. Stat. chs. 157 and 440-480.

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.

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.

"Closed" means after the licensure or approval decision is made by the Department.

RETENTION: EVENT (Closed) + 10 years and destroy

00016000. CATALOGS — EVT+3 — DEST — N

This series includes catalogs submitted by authorized schools under Wis. Stat. § 440.52. Catalogs contain information as described in Wis. Admin. Code § SPS 404.03(2). Catalogs are required upon initial application for approval under Wis.
Ad min. Code § SPS 404.03(2) and annually for the application for renewal of the school approval under Wis. Adm in. Code § SPS 404.01(4).

EVENT: Superseded by a third catalog (i.e., retain the current and two previous catalogs at all times).

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.

Transfer to record series 105-00102000 (School Files -Approved Schools) when school closes operation or authorization is withdrawn.

RETENTION: EVENT + 3 years and destroy

00031000. SCHOOL AND SOLICITOR APPLICATIONS — CR+7 — DEST

This record series consists of files containing applications under Wis. Stat. § 440.52 for school approvals, course approvals, teaching locations, changes of ownership or control, annual school renewals, original solicitor permits, and renewals of solicitor permits.

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 (Creation) + 7 years and destroy

00033000. JOB ANALYSIS MATERIALS EVT+1 DEST N

Series includes job analysis materials generated prior to development of examinations by the department's examination center for occupations and professions regulated under Wis. Stat. chs. 157 and 440-480.

Series includes completed survey forms, cover letters to recipients, statistical analyses conducted on survey information, and reports. These materials are used to generate a report of current trends.

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 (date of final report) + 1 year and destroy

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

Series includes supporting documents of examinations developed by the department's examination center for occupations and professions regulated under Wis. Stat. chs. 157 and 440-480.

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.

The Angoff Method is a widely used standard-setting approach in test development. In plain English, it is a kind of study that test developers use to determine the passing percentage (cutscore) for a test. The passing grade of a test can't be decided arbitrarily; it must be justified with empirical data.

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

"Closed" means date of last active use of test form(s).

RETENTION: EVENT (Closed) + 5 years and destroy

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

Series includes, but is not limited to, examinations with answer key developed by the department for the following occupations and professions: accounting (Wis. Stat. ch. 442); advanced practice nurse prescriber (Wis. Stat. ch. 441); barrier-free design (Wis. Stat. ch. 443); dentist, dental hygienist (Wis. Stat. ch. 447); home inspector (Wis. Stat. ch. 440); massage therapist (Wis. Stat. ch. 460); nursing home administrator (Wis. Stat. ch. 456); occupational therapist, occupational therapist assistant, physician, physician assistant, podiatrist, respiratory care practitioner (Wis. Stat. ch. 448); optometrist (Wis. Stat. ch. 449); pharmacist jurisprudence and patient consultation (Wis. Stat. ch. 450); psychology (Wis. Stat. ch. 455); real estate appraiser (Wis. Stat. ch.458); real estate broker, real estate sales (Wis. Stat. ch. 452); social worker, marriage and family therapist, professional counselor (Wis. Stat. ch.457).

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 (last date exam used) + 5 years and destroy

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

Series includes the examination administered on each test date with answer key and all onsite 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.

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 (Wis. Stat. ch. 454); chiropractic practical (Wis. Stat. ch. 446); designers (Wis. Stat. ch. 443); funeral directors (Wis. Stat. ch. 445); hearing instrument specialist (Wis. Stat. ch. 459); hydrologist (Wis. Stat. ch. 470); land surveyor (Wis. Stat. ch. 443); occupational therapist and occupational therapist assistant orals, physical therapist orals, physicians orals, physician assistant

orals, respiratory care practitioner orals (Wis. Stat. ch. 448); pharmacists (Wis. Stat. ch. 450); private detectives (Wis. Stat. ch. 440); real estate broker, real estate sales examinations, CE test-out examinations (Wis. Stat. ch. 440).

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 date test used) + 5 years and transfer to WHS

00039000. EXAMINATION CHALLENGES EVT+1 DEST Y

Series includes documents generated as the result of examination challenges by candidates for credentials regulated under Wis. Stat. chs. 157 and 440-480.

Series includes all candidate records, examination records, correspondence, and documents sent in discovery 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 (resolution of challenge) + 1 year and destroy confidential

00040000. CONTRACTS FOR EXAMINATION SERVICES EVT+6 DEST Y

Series includes documents for outside examination services to test candidates for licensure regulated under Wis. Stat. chs. 157 and 440-480.

Series includes winning contractor's proposal; contracts indicating exam service, examiners, proctors, subject and reader application/contracts.

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 (expiration of contract) + 6 years and destroy confidential

00081000. CEMETERY & PRENEED SELLER AUDIT RECORDS EVT+5 DEST Y

Records may include, but are not limited to, financial accountings of trust funds submitted to the department by cemetery authorities and preneed sellers, department staff inspections and audits, pursuant to Wis. Stat. §§ 157.62 and 440.92(6).

Also 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.

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

“Closed” means audit summary completed.

Confidential under Wis. Stat. § 19.36(13).

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

00093000. EXAM MODIFICATION RECORDS EVT+6 DEST Y

Series includes records associated with modifications under the Americans with Disabilities Act to examinations for professional credentials for occupations and professions regulated under Wis. Stat. chs. 157 and 440- 480.

Series includes medical records of disabilities, requests for modifications to examinations, and modification agreements.

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 exam) + 6 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00102000.	SCHOOL FILES - APPROVED SCHOOLS	EVT+7	SHSW	N

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

00103000.	COMPLAINT FILES	EVT+7	DEST	Y

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

00104000.	WISCONSIN DIRECTORY OF AUTHORIZED PRIVATE POSTSECONDARY SCH(	EVT	DEST	N

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

00105000.	CLAIMS PROCEEDINGS FILES	EVT+5	DEST	Y

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

00107000. STUDENT RECORDS FROM CLOSED SCHOOLS **EVT+6** **DEST** **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 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

00108000. SCHOOL BOND FILES (ACTIVE) **EVT+6** **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 representatives of those schools who solicit enrollments within Wisconsin are required to be approved by the Educational Approval Program.

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

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

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

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

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

00240000. CREDENTIAL EXAMINATION RECORDS EVT+5 DEST Y

This record series contains the paper examinations for specific credentials such as licenses, certifications or registrations under Chapters 101, 145 and 167 of the Wisconsin State Statutes. These credentials relate to activities associated with the construction of buildings and structures, specific components and elements that serve buildings and structures, inspection activities and the like. The requirements that need to be met for successful attainment of an approved credential are administered by the division in accordance with rules in the Wisconsin Administrative Code. Examinations are required for credentials specifically identified in the code.

Specified data from these paper records are entered to an electronic relational database.

Information contained in this electronic record series includes applicant name, social security number, address, telephone number, exam score, amount of fee and date paid, license number, credential expiration date and other pertinent information gathered as needed.

RETENTION: EVENT (Final determination issued) + 5 years and destroy confidential

00016000. CATALOGS EVT+3 DEST N

This series includes catalogs submitted by authorized schools under Wis. Stat. § 440.52. Catalogs contain information as described in Wis. Admin. Code § SPS 404.03(2). Catalogs are required upon initial application for approval under Wis.
Ad min. Code § SPS 404.03(2) and annually for the application for renewal of the school approval under Wis. Adm in. Code § SPS 404.01(4).

EVENT: Superseded by a third catalog (i.e., retain the current and two previous catalogs at all times).

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.

Transfer to record series 105-00102000 (School Files -Approved Schools) when school closes operation or authorization is withdrawn.

RETENTION: EVENT + 3 years and destroy

00043000. BIENNIAL LICENSING RENEWAL APPLICATIONS EVT+4 DEST Y

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

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

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

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

00044000. CREDENTIALING CASE FILES EVT+5 DEST Y

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

Information contained in this record series include applicant name, Social Security number, address, telephone number, employer and/or work location information, exam score, amount of fee and date paid, license number, credential expiration date and other pertinent information gathered as needed. Records may also include a variety of health care records protected under Wis. Stat. §§ 146.82 and 51.30.

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

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

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

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

Files include, but are not limited to, the following: 1) Permit application; 2) Pharmacy floor plans; 3) Requests for variance; 4) Requests to remodel; 5) Inspection reports; 6) Notification of change of managing pharmacist; 7) Loss/theft reports; 8) Notification of change of hours; 9) Closing affidavit, indicating pharmacy closure, change of ownership, or change of location; 10)Significant documentation verifying compliance with state statutes and administrative codes.

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

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

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

00064000. INCOMPLETE AND WITHDRAWN CREDENTIALING CASE FILES EVT+4 DEST Y

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

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

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

Event = Date incomplete determination made or withdrawn

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

RETENTION: EVENT + 4 years and destroy confidential

00085000. DENIED APPLICATION FILES EVT+4 DEST Y

Denied application files contain all application materials relating to the granting of a credential by the Department of Safety and Professional Services and one of its boards or examining boards pursuant to Wis. Stat. chs. 101, 145, 157, 167, 440-480, and 961. The files also contain materials which document the denial of an application for a credential.

The file includes some or all of the following items: Completed and signed application; Documentation of qualifications, including proof of education and experience; Copy of malpractice complaint(s); Copy of criminal records reports and relevant court judgments; Drug treatment evidence; Verification of licensure from other states; Applicant's photo; Applicant testing/exam materials unless held by the exam provider; Correspondence concerning application materials and other documentation; Notice of examination failure; Notice of intent to deny; Notice of denial; Class 1 hearing information materials.

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

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

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

00092000. CONTROLLED SUBSTANCES BOARD SPECIAL USE AUTHORIZATION CASE I EVT+5 DEST Y

Controlled Substances Board Special Use Authorization Case Files include all materials required by the Controlled Substances Board to issue Special Use Authorizations pursuant to Wis Stat. § 961.335.

Files include, but are not limited to: 1) New and renewal applications; 2) research protocols; 3) dog trainer checklists; 4) letters from Sheriffs; 5) Certificates of completion of required training/coursework; 6) Association membership certificates; 7) Significant correspondence concerning satisfactory completion of requirements.

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

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

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

00208000. MANUFACTURED HOME PARKS - LICENSING CASE FILES EVT+3 DEST Y

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

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

This record series contains correspondence for the denial, nonrenewal, and revocation of occupational credentials issued by the WI Department of Safety and Professional Services (DSPS) based on nonpayment of delinquent state taxes owed to the WI Department of Revenue (DOR) by the credential applicant or credential holder per Wis. Stat. § 73.0301. Occupational credentials include those issued under Wis. Stat. chs. 440-480, 101,145, and 167. Communication occurs as outlined in Wis. Stat. § 73.0302(2) and Wis. Admin. Code ch. SPS 9.

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

Information contained in this record series includes DOR Wisconsin tax numbers and may include social security or federal employment identification numbers. Records also include applicant name, address, telephone number, employer and/or work location information, tax delinquent information, amount of fee and date paid, license number, credential expiration date, and other pertinent information gathered as needed.

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

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

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

00275000. CUSTOMER SERVICE CENTER RECORDS EVT+0/2 DEST Y

The Department's Customer Service Center (CSC) serves as the initial screening contact for customers to ensure customers are referred to the correct division or program area. The division or program area that CSC refers the initial contact to will manage any records per their appropriate RDA.

CSC records include, but are not limited to, recorded calls, voicemail, and online chats. Online chats are automatically transcribed and retained.

Recorded calls and voicemail are retained for supervisory general quality assurance reviews. If an issue is identified during supervisory review, the matter is discussed with the CSC staff for quality improvement. If necessary, records will be managed under HR000112, Employee Discipline Related Records.

RETENTION: EVENT (Date of Review) + 45 days and destroy confidential

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 — EVT+5 — DEST — Y

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

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

Building data contained in this record series includes: Inspection date; internal office file number; owner's name and address; occupancy inspected, occupancy address; compliance date; person's name to whom violations were explained to; inspector's name; report number and inspector region number; Wisconsin Administrative Code number and violation explanation with expected action (if applicable).

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

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

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 Admin. Code§ SPS 361.30 (Plan Review and Approval) and Wis. Admin. Code chs. SPS 320 and 326.
Wisconsin Admin. Code § SPS 361.30 categorizes building plans for new commercial buildings, new additions and alterations. Commercial buildings include, but are not limited to, factories, mercantiles, offices, theaters, assembly halls, schools, health care facilities and places of detention, day care facilities, community-based residential facilities, etc. Specific records include general building plans, structural plans and/or heating and ventilating plans with calculations.

Wisconsin Admin. Code chs. SPS 320 and 326 categorizes approval and inspection on one-and two-family dwellings, approval and inspection of manufactured dwellings and their components, approval of materials, variances, appeals, violations and penalties, respectively. Plans are retained for three years for review purposes in case of any building remodeling or technical problems.

Records in these files include: letters sent to owners, designers, etc., by plan reviewers regarding plan approvals/denials; requests for additional information; incorrect fees paid; general information letters. Other records include letters received from owners, designers, etc., regarding building alterations; owner changes; additions to heating and ventilating; requests for code verification, etc.

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

Access to plans defined under Wis. Stat.§ !Ol.12(5)(a) may be protected under Wis. Stat.§ 101.12(5)(b) and (c).

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

00148000. PLUMBING, SWIMMING POOL AND WATER ATTRACTION PLANS — EVT+3 — DEST — Y

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

RDA #	RDA Title	Retention	Disposition	PII
00149000.	PRIVATE SEWAGE SYSTEM PLANS	EVT+3	DEST	Y

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

00171000.	WISCONSIN UNIFORM BUILDING PERMIT APPLICATION FILES	EVT+3	DEST	Y

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

00210000.	MANUFACTURED HOUSING TITLES	EVT+5	DEST	Y

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

00220000.	PERMIT APPLICATION TO PURCHASE SEPTIC TANKS	EVT+5	DEST	Y

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

00221000.	PRODUCT APPROVAL FILES	EVT+5	DEST	N

Contains product and background information submitted for building or plumbing product approval. Approvals are used by state and local code officials to verify compliance with applicable codes. Approvals are typically for 5 years. Submitters may renew for additional periods. Files are used by staff and the public to answer questions that may arise regarding the approval.

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

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

00230000.	INSPECTION REPORTS	EVT+3	DEST	Y

This record series contains information related to the inspection of objects the Division is required to regulate under Safety and Professional Services Administrative Code. These records include, and are not limited to, the following program areas: Amusement Ride and Ski Lift, Building, Elevator, Power Boiler and Refrigeration Group II. These inspections are done ranging from a 1-to 3-year basis, depending on the code involved, for public safety purposes.

Inspections may also be done whenever required by complaints received by the Safety and Buildings Division or whenever a potential danger to public safety may exist.

Retention period starts when an inspection report is replaced by the newest inspection report. Work papers, correspondence and orders (if applicable) are completed and received from inspectors. It is at that time that the old inspection report papers may be destroyed and replaced by the newest inspection report.
Information contained in this record series includes, and is not limited to, the following: inspection date, registration number, object description information, internal office file number, owner's name and address, compliance date, person's name to which violations were explained to, inspector's name and Wisconsin Credential Number, report number and inspector region number, Wisconsin Administrative Code number and violation explanation with expected action and any other pertinent information relating to the inspection process.

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

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

00232000. PETITION AND PLAN REVIEW TRACKING EVT+20 DEST Y

Records contain information pertaining to the tracking of Petitions for Variance and Plan Reviews. The records pertain to the following program areas: Building, Elevator, Plumbing, and Private Sewage. The records are used by staff to track the review and approval/denial process for plans and petitions for
variance submitted to the Safety and Buildings Division.

The information tracked includes: owner name, submitter name and address, date submitted,
inspection or review dates, approval or denial dates, occupancy, fees, and code sections petitioned.

RETENTION: EVENT (Date of approval or denial) + 20 years and destroy confidential

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

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

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

00235000. COMPLETION STATEMENTS EVT+3 DEST Y

This record series is a document entitled Compliance Statement (form SBDB-9720 or its equivalent) submitted to the division that provides information pertaining to the construction completion of a building and/or HVAC (heating, ventilation, air conditioning) project. The document will attest to either the completion of a project with substantial compliance with the previously approved plans and specifications; a statement of noncompliance listing violations; a supervising professional withdrawing from a project; or a project being abandoned. A document may also be submitted attesting to the partial completion of a building and/or HVAC project.

Multiple Compliance Statements may be submitted to the division for a project before the final version is submitted attesting to substantial compliance. Once 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

00242000. FIRE DEPARTMENT ADMINISTRATIVE FILES EVT+3 DEST Y

This record series contains information on fire departments throughout the state. Annually, the municipal clerks and fire chiefs must certify that the necessary fire inspections are completed.
Records in the series may include, but are not limited to:

1. Certification forms indicating inspections completed to receive 2% Fire Dues.
2. Correspondence on routine fire inspection issues with fire departments.
3. Contracts between municipalities and fire departments to perform fire suppression and inspection work.

Information in the series may include, but is not limited to:

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

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

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

00247000. PUBLIC SAFETY OBJECTS CORRESPONDENCE FILES EVT+3 DEST Y

This record series contains information from the paper or equivalent correspondence file for all types of ski tows, amusement rides and mine/pits/quarries. The file is used to record information about the object pertaining to location, owner and other names, dates, etc., as needed for programmatic purposes.

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

Information maintained in this record includes: Owner name and address; occupant name; inspection date; batch dates; insurance code; manufacturer; location; district; type of inspection; number of violations; and other correspondence and data as needed.

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

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

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

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

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*