



**DEPARTMENT OF PERSONNEL & ADMINISTRATION
STATE ARCHIVES AND PUBLIC RECORDS
RECORDS DISPOSITION SCHEDULE**

ARCHIVES NO. 17-21

DEPARTMENT	DIVISION	SECTION	PERMANENT	NON-PERMANENT
Regulatory Agencies	Professions and Occupations	ALL Boards and Programs within the Division of Professions and Occupations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
1	Final Agency Orders*	Permanent	Retain by agency for five years after completion of all terms, if applicable, and then archive.	
2	Stipulations**	Permanent	Retain by agency for five years after completion of all terms, if applicable, and then archive.	
3	Letters of Admonition	Permanent	Retain by agency for five years, and then archive.	
4	Letters of Concern/Do Not Endorse Letters	5 years	Retain by agency for five years, and then destroy.	
5	Injunctions	Permanent	Retain by agency for five years, and then archive.	
6	Cease and Desist Orders	Permanent	Retain by agency for five years, and then archive.	
7	Contempt Orders	Permanent	Retain by agency for five years, and then archive.	
8	Any other formal actions as defined by agency's enabling act	Permanent	Retain by agency for five years, and then archive.	
<p>*Final Agency orders are those issued after a hearing. **Stipulations are settlements of disciplinary actions prior to hearing.</p>				
<p>I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed in the State Records Management Policies and Procedures Manual.</p>				
State Archivist's Signature		Date	Records Liaison Officer's Signature	
<i>[Signature]</i>		2/13/2017	<i>[Signature]</i>	
Attorney General's Signature		Date	State Auditor's Signature	
<i>[Signature]</i>			<i>[Signature]</i>	



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
9	Complaints lacking jurisdiction or involving unknown respondent	Minimum of 90 days		
10	Complaints resulting in dismissal	1 year	Retain 1 year after exhaustion of all remedies, then destroy	
11	Complaints resulting in stipulation	Permanent	Retain by agency for five years after completion of all terms, then archive	
12	Complaints resulting in a final agency action after hearing	Permanent	Retain by agency for five years after completion of all terms, then archive	
13	Reports of Investigation* resulting in dismissal	1 year		
14	Reports of Investigation* resulting in stipulation	Permanent	Retain by agency five years after completion of all terms, then archive	
15	Reports of Investigation* resulting in final agency action after hearing	Permanent	Retain by agency five years after completion of all terms, then archive	
16	Practice monitor/probation reports	2 years	Retain 2 years after completion of all terms, then destroy	
	*Reports of Investigation are those prepared by the Office of Investigations and include all attachments, correspondence, and exhibits.	Note: Correspondence relating to complaints, disciplinary actions and monitoring is kept at the same retention as the related action.	Note: No record shall be destroyed that pertains to any pending legal case, claim, action or audit.	
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State Archivist's Signature <i>[Signature]</i>		Date 2/13/2017	Records Liaison Officer's Signature <i>[Signature]</i>	
Attorney General's Signature		Date	State Auditor's Signature <i>[Signature]</i>	
			Date 1/23/17	
			Date 3/13/17	



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
17	Hearing Record*	Permanent	Retain for 1 year after expiration of administrative remedies*, and then transfer to State Archives through the Attorney General's Office (reference State Records Management Manual section 1-19).
18	Hearing Transcripts	Permanent	Same as #17 above.
19	Exceptions	Permanent	Same as #17 above.
20	Appellate Record **	Permanent	Same as #17 above.
21	Appellate Opinions	1 year	Retain 1 year after exhaustion of all remedies, then destroy
	<p>*The record consists of all legal pleadings and exhibits from the Office of Administrative Courts (OAC).</p> <p>**The appellate record consists of the record from OAC, transcripts, and exceptions that is compiled and transmitted to the Court of Appeals.</p>		<p>*The exhaustion of administrative remedies is the time-period after all appellate rights have either been exercised or expired, and as a result, bars further review.</p>
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State Archivist's Signature		Date	Records Liaison Officer's Signature
		2/13/2017	
Attorney General's Signature		Date	State Auditor's Signature
			1/23/17
			2/13/17