

Records Retention / Disposition Authorization

<ul style="list-style-type: none"> Please read instructions provided on pages 2-3 before completing. In accordance with s.16.61, Wis. Stats, this form must be completed and approved by the Agency and the Public Records Board (PRB) within one year of creation of the records series and prior to disposition of any public record. Box 1 - Agency Records Officers generally assign sequential RDA numbers which are subject to PRB approval. If the agency does not assign an RDA number, leave this field blank and the PRB will assign the number. Agency Records Officer: Review & approve RDA; Assign RDA #, if applicable. Forward original <u>only</u> to the PRB. Maintain an agency copy during the Board's review process. 	1. Retention/Disposition Authorization # (RDA) 112	
	2. Agency Number 285F	3. Unit Number
	4. RDA Status <input checked="" type="checkbox"/> New <input type="checkbox"/> Amended <input type="checkbox"/> Renewal	

5. Agency Name University of Wisconsin Oshkosh
Division Name Oshkosh Student Association
Subdivision Name

6. Record Series Title Judiciary Committee Records	
7. Record Series Year Created Year Created 1969	8. Medium for Records Storage – Check all appropriate categories <input checked="" type="checkbox"/> Electronic/Digital <input type="checkbox"/> Microform <input checked="" type="checkbox"/> Paper <input type="checkbox"/> Other (Specify)

9. Retention Time Period - Specify Actual Period <table border="1"> <tr> <th>Yrs</th> <th>Mo</th> <th>Wks</th> <th>Days</th> <th>Permanent*</th> </tr> <tr> <td>4</td> <td></td> <td></td> <td></td> <td><input type="checkbox"/></td> </tr> </table>	Yrs	Mo	Wks	Days	Permanent*	4				<input type="checkbox"/>	10. Event that Initiates the Start of the Retention Time Period <table border="1"> <tr> <th>Creation</th> <th>Fiscal</th> <th>Other (Specify)</th> </tr> <tr> <td><input type="checkbox"/> (CR)</td> <td><input type="checkbox"/> (FIS)</td> <td><input checked="" type="checkbox"/> End of Academic Year of Creation</td> </tr> </table>	Creation	Fiscal	Other (Specify)	<input type="checkbox"/> (CR)	<input type="checkbox"/> (FIS)	<input checked="" type="checkbox"/> End of Academic Year of Creation
Yrs	Mo	Wks	Days	Permanent*													
4				<input type="checkbox"/>													
Creation	Fiscal	Other (Specify)															
<input type="checkbox"/> (CR)	<input type="checkbox"/> (FIS)	<input checked="" type="checkbox"/> End of Academic Year of Creation															

*If selecting Permanent, cite supporting statute, code, other legal authority, or sufficient justification in Box 12: Record Series Description.

11. Disposition <input type="checkbox"/> Destroy <input type="checkbox"/> Destroy Confidential <input type="checkbox"/> Transfer to State Archives (WHS) <input checked="" type="checkbox"/> Transfer to UW Archives <input type="checkbox"/> Transfer to Other Location (Specify) UW Oshkosh Archives

12. Records Series Description

The OSA Judicial Committee serves as a “checks and balances” system with the Executive and Legislative branches of student government that interprets the OSA Constitution, Assembly and Senate bylaws and other OSA policies to resolve alleged complaints. Records from this body include documentation of complaints from OSA members regarding the behavior and decisions of OSA or its constituent members. Record series also included documents created in the process of investigating and adjudicating the allegation. As the Judiciary Committee considers non-criminal, transgressions of internal policies by individual members and has disciplinary powers over those individual student members, such records are made confidential by the Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99).

13. Records Contain Personally Identifiable Information (PII): <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Read Instructions on page 3 before completing Boxes 13 and 14.
14. PII Registry Exemptions (Check YES if PII is exempted): <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

15. Name of Agency Program Contact or Records Officer Joshua Ranger
(Select appropriate title) <input type="checkbox"/> Program Contact <input checked="" type="checkbox"/> Records Officer
Telephone 9204240828 Email ranger@uwosh.edu

16. Records Series Contains Content that is Confidential or Access is Protected: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, enter Statute/Code/ or explain other Legal Authority in Box 12 above.

17. APPROVAL SIGNATURES

Agency Official _____	Date (mm/dd/ccyy) _____	Agency Records Officer _____	Date (mm/dd/ccyy) _____
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PUBLIC RECORDS BOARD APPROVAL – Authorization is contingent on restrictions to record destruction contained in Wis. Stat. § 19.35(5), (Open Records Law), and that no records are destroyed if litigation or audit involving these records has commenced or is anticipated.

State Archivist _____	Date (mm/dd/ccyy) _____	Executive Secretary – PRB _____	Date (mm/dd/ccyy) _____
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INSTRUCTIONS: Records Retention/Disposition Authorization

1. **Retention/Disposition Authorization (RDA) #:**

Prior to submission to the Public Records Board (PRB) for approval, every RDA must have a unique, sequential number. Agency Records Officers generally assign this number which is subject to PRB approval. If the agency does not assign an RDA number, leave this field blank and the PRB will do so.

- SEQUENTIAL #: Agency RDAs advance in numerical order. The Records Officer must review past RDAs and then assign the next sequential number to a new RDA.
- A Suffix is not used for most records series. It is an optional alphabetical character that may be added to the end of the RDA number when used to indicate different retention periods, media, or dispositions for all or portions of the same records series.

2. **Agency #:** Use the following:

- **State Agency:** Use the three-digit agency appropriation code assigned by Wis. Stat. § 20.005.
- **University of Wisconsin:** Use the three-digit statutory code (285) together with the alphabetical code assigned to the institution.
- **Local Units of Government, Other Entities:** Please contact PRB Staff.
- **Board/Commission:** The Records Officer may assign an additional alphabetical character to autonomous entities that are attached to an agency.

3. **Unit #:** Use the following:

- Use a 3-digit field to further indicate entity with ownership and financial responsibility for records in this series.
- **University of Wisconsin:** Use the 6-digit UDDS # that the UW uses for accounting and budgetary purposes.

4. **RDA Status:** Check only one box:

- NEW: Request for approval of an RDA that has never been submitted to the PRB.
- AMENDED: Request for approval of a change to an RDA that previously was approved by the PRB. Any revision to an RDA triggers amended status with the exception of RENEWAL. Use existing RDA number.
- RENEWAL: The RDA has sunset and is being renewed without amendments. RDA's automatically sunset every 10 years, per Wis. Stat. § 16.61(4)(c).

5. **Agency Name:**

- Identify the entity that has legal custody of the records, using correct names. Do not use acronyms or abbreviations.
- Identify the division and/or subdivision that creates and receives the records. Do not use acronyms or abbreviations.

6. **Records Series Title:**

- Assign a descriptive title to the records series. Be certain that agency employees will be able to accurately identify the records series from its title. Do not use abbreviations or acronyms.

7. **Records Series Year of Creation:** Identify the following:

- YEAR CREATED: This is the year the agency first began creating or receiving records in this series. If the precise year is unknown, then provide an estimate.

8. **Medium for Records Storage:** Indicate all the media on which the records are stored such as paper, electronic/digital, microform, or other, e.g. audio, film, or video. For electronic media, describe the application or file format in #12, e.g. MS

Office Suite. If the original medium of an official record is converted, for example from paper to electronic, then the original may be destroyed and replaced by the new one, but only if the new medium meets all legal requirements, including those set forth in [Wis. Admin Code ch Admin 12: Electronic Records Management-Standards and Requirements](#).

9. **Retention Time Period:** SPECIFY AN ACTUAL TIME PERIOD. Enter the number of years, months, weeks, or check "Permanent" to indicate period of time for retaining the records. "Permanent" means that the records need to be maintained permanently by the creating agency. See the [Guidelines for the Permanent Retention of Records](#).

- In # 12, provide specific justification to the PRB for the proposed retention time period. Examples of appropriate justification include, but are not limited to: citation of controlling statutes or administrative rules, consistency with related retention schedules, audit or fiscal requirements, or end of business need.
- If a retention time period is required by law, cite the relevant statute, administrative rule, or other legal authority in #12. If the record series is closed, specify the event that closed the file.

10. **Event:** Use this field to indicate the specific event that must occur in order to initiate the retention time period. Identify this event using one of the following terms:

- CR: If creation of the record initiates the retention time period, mark the checkbox "CR."
- FIS: If the retention time period is initiated by the end of a fiscal year, mark the checkbox "FIS." These records must be kept through the end of the Fiscal Year.
- Other: If a specific event other than "CR" or FIS initiates the retention time period, mark the checkbox "Other (Specify)" and briefly describe the event. You may also provide a detailed description of the event within the Records Series Description in #12.

11. **Disposition:** Check the appropriate category to indicate disposition of the records after the retention time period has expired. Only one disposition may be checked. Mark as "Destroy Confidential" any record series containing personally identifiable information (PII, *see* # 13, below), or information to which access is restricted by law (*see* # 16, below). If a record is marked as "Destroy Confidential," then the record destruction shall comply with all relevant legal requirements.

INSTRUCTIONS: Records Retention/Disposition Authorization continued

12. Records Series Description:

- The description is the most important section of the RDA. It informs the PRB, and others who are unfamiliar with the records series, what information is contained in the series, the business purpose for the information, and the reasons why the series was created and/or received by the agency.
- Include relevant statutory, rule citations, or other legal authority in order to clarify the content of the records and the authorization to create them. Additional information may be included as needed for employees to manage the records, such as providing guidance regarding who is custodian of the records within the series or conditions that must be met prior to disposition, as well as the relationship to any other record series.
- "Record series" is defined by Wis. Stat. § 16.61(2)(c).

13. Records Contain Personally Identifiable Information:

Wisconsin law requires authorities to specifically identify records series that contain personally identifiable information (PII). PII is defined in Wis. Stat. § 19.62(5) as information that can be associated with a particular individual through one or more identifiers or other information or circumstances. Examples of PII include, but are not limited to, a person's name plus social security number or driver's license number. If the records associated with the RDA must be destroyed confidentially due to PII content, check yes. Check yes even if some, but not all, of the records included in the RDA contain PII.

14. Personally Identifiable Registry:

Pursuant to Wis. Stat. §16.61.(3)(u), the Public Records Board shall create a registry describing records that contain PII. The law specifies that records containing the following information shall not be included in the Registry: a. Any records series that contains the results of a matching program, as defined in Wis. Stat. §19.62 (3), if the state agency using the records series destroys the records series within one year after the records series was created; b. Mailing lists; c. Telephone directories; d. Records series pertaining exclusively to employees of a state agency; e. Records series specified by the board that contain personally identifiable information incidental to the primary purpose for which the records series was created, such as the name of a salesperson or a vendor in a records series of purchase orders; and, f. Records series relating to procurement or budgeting by a state agency. If the records associated with this RDA are derived from any of the information stated immediately above in a. through f., check YES in Box #14. Note: When Box 14 is checked YES, the information in this RDA will be excluded from the PII Registry. When checked NO, the information in this RDA will be included in the PII Registry.

15. **Agency Program Contact or Records Officer:** Provide the name, telephone number and email address for the agency's statutorily-designated Records Officer or other program contact, who may be contacted for further information regarding the record series.

16. Records Series is Confidential or Access is Limited:

- Check "yes" only if a specific statute, administrative rule, or other legal authority requires that all, or some, information in the record series be kept confidential or protected from public access. If "yes" is checked, identify the relevant statute, code, or other legal authority. Use #12 if more room is needed.
- If access to the record series is limited only to certain employees, provide written justification for limited access and identify titles of the employees who have access to the records.
- NOTE: Some, but not all, personally identifiable information (PII) is confidential. At the same time, records that do not contain PII may be required by law to be kept confidential. For purposes of record retention and destruction, Wisconsin's Public Records Law and related statutes govern public access to records including certain confidentiality provisions.

17. **Approval Signatures:** The Agency Records Officer, and at least one other agency official, such as the Agency Program Manager, Risk Manager, Legal Counsel, and/or the Legal Custodian of Records, must review, approve, and sign the RDA before submitting it to the PRB for approval. Prior to implementation, PRB approval and signature by the State Archivist are both required.

Contact information: for records management training and assistance, please contact the Wisconsin Department of Administration, Records Management Section, by telephone at: (608) 266-2995. Many records management resources are available at the Public Records Board website: <http://publicrecordsboard.wi.gov>

Here are three helpful documents:

- 1) [Statewide General Records Schedules](#)
- 2) [Wis. Admin. Code ch. Admin 12](#)
- 3) [Records Management Fact Sheets](#)