

## Records Retention / Disposition Authorization

- Instructions for completion are provided on page 2.
- In accordance with s.16.61, Wis. Stats, this form must be completed, 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.
- Field #1 - If the designated records officer is allocating these numbers, he/she may assign the number subject to Board approval. Otherwise leave this field blank and the PRB will assign the number.
- Agency Records Officer: Review & approve RDA; Assign RDA #, if applicable. Forward original only to the PRB. Maintain an agency copy during the Board's review process.

1. Retention/Disposition Authorization # (RDA)	
Sequential #	Suffix #
<b>104</b>	
2. Agency #	3. Division #
285F	

4. Agency Name  
 University of Wisconsin Oshkosh

5. Type of Request     New     Amended  
 Sunset/Renewed     Closed/Superseded

Division Name  
 All Divisions

Subdivision Name

6. Prior RDA # (if applicable)  
 (8 digits)

7. Record Series Title  
 Criminal Background Check Records - Students

8. Record Series Life Cycle Dates			9. Type of Medium				
Year Created	Year Discontinued	Year of Final Disposition	Paper	Machine Readable	Audio Recording	Converted from paper to another media	Other – (Specify):
2007			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Retain: (Specify Actual Period)				11. After: (Specify Event. If event is not specified, retention is based on creation)			
Yrs	Mo	Wks	Permanent	<input type="checkbox"/> Closed /Terminated / Death	<input type="checkbox"/> Superseded	<input type="checkbox"/> Entered into Data System	
7			<input type="checkbox"/>	<input type="checkbox"/> Other (Specify) :			

12. And: (Disposition)    Destroy    Transfer To Wisconsin    Transfer To UW    Transfer To Other Location

Destroy     Confidential     Historical Society     Archives     (Specify):

13. Records Series Description

Records are created through an investigation of offenses and related disclosed information for students working toward professional experience, licensure or certification and usually involved with an internship or clinical experience. Many programs keep these records separate from other student records. These records include, but are not limited to: (1) the confidential self-disclosure application supplements; (2) the criminal background check reports, which are generated by private vendors on a contract basis, University employees, or employees of the Wisconsin Department of Justice; (3) records created and received by the University employees who are responsible for decisions related to the applicants continued progress.

Retention period based on series: Employment Application Records: Criminal Background Check of Applicants, university system wide RDA.

14. Filing Arrangement (Check all appropriate categories)

Alpha     Numeric     Chronologic     Subject     Disarranged

15. Records contain personally identifiable information (If Yes, Contact Name & Phone #)	16. Records Series Is Confidential (If Yes, Statute/Code)
<input type="checkbox"/> No <input checked="" type="checkbox"/> Yes (Specify) Holly Lawryk 920-424-2220	<input type="checkbox"/> No <input checked="" type="checkbox"/> Yes (Specify) FERPA

17. APPROVAL SIGNATURES

Agency Program Manager \_\_\_\_\_ Date (mm/dd/ccyy) \_\_\_\_\_ Agency Records Officer \_\_\_\_\_ Date (mm/dd/ccyy) \_\_\_\_\_

PUBLIC RECORDS BOARD APPROVAL - Contingent on restrictions to record destruction contained in s. 19.35(5), Wis. Stats., (Open Records Law), and that no records are destroyed if litigation or audit involving these records has commenced.

State Archivist \_\_\_\_\_ Date (mm/dd/ccyy) \_\_\_\_\_ Executive Secretary – PRB \_\_\_\_\_ Date (mm/dd/ccyy) \_\_\_\_\_

# Records Retention/Disposition Authorization INSTRUCTIONS

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

Every record series must have a unique assigned number. If the designated records officer is allocating these numbers he/she may assign the number subject to Board approval. Otherwise leave this field blank and the PRB will assign the number.

    - SEQUENTIAL #: Designated Agency Records Officers begins with 0001, 0002, etc. and assigns the number before submitting the RDA for Public Records Board approval. Do not block numbers.
    - SUFFIX: The Suffix is not used for most records series. It is an optional alphabetical character that may be used to indicate different retention periods, different media or different dispositions for all or portions of the same records series.
  2. **Agency #: Use the following:**
    - State Agency: Use Chapter 20, Wis. Stats., assigned 3-digit agency appropriation code.
    - Attached Board/Commission: The agency Records Officer may assign an additional alphabetical character to an autonomous entity attached to the agency.
    - University of Wisconsin: 3-digit statutory code (285) + campus or institution alphabetical code.
    - Local Units of Government, Other Entities: Contact PRB Staff.
  3. **Division #: Use the following:**
    - State Agency or Attached Board/Commission: Use a 3-digit field to indicate division 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. The first 2 digits indicate major division or college; the last 4, the specific unit.
  4. **Agency, Division and Subdivision Names:**
    - Identify the agency that has legal custody of the records, using correct names, not acronyms or abbreviations.
  5. **Type of Request: Check only one box:**
    - NEW if the request is for approval of an RDA that has never been submitted to the PRB.
    - AMENDED if requesting approval of a change to an RDA that was previously approved by the PRB, with existing RDA number.
    - SUNSET/RENEWED: if the RDA has sunset and is being renewed without amendments (RDA's sunset every 10 years).
    - CLOSED/SUPERSEDED:
      - Closed: If the agency no longer receives, collects, or generates records in this series (*also complete #8, year discontinued and final disposition*)
      - Superseded: Replaced by an existing or previous RDA.
  6. **Prior RDA Number (if applicable) 8 digits**
    - If applicable, indicate prior eight digit RDA #
  7. **Records Series Title:**
    - Assign a brief, descriptive title to the records series, e.g., Vehicle Certification and Verification Reports, Consumer Credit Examination Work Papers. Avoid acronyms, abbreviations and form numbers if possible. However, make sure that users will accurately identify the records series from the title given.
  8. **Records Series Life Cycle Dates: Identify the following:**
    - YEAR CREATED: This is the year the agency first began creating, receiving, collecting or generating records in this series. For continuing series, only indicate this part of the life cycle.
    - YEAR DISCONTINUED: Only complete this part if the agency no longer has any responsibility to receive, collect, generate or otherwise create records in this series; if the series is obsolete.
    - YEAR OF FINAL DISPOSITION: Only complete this section of the life cycle if there is a year discontinued. Disposition=year discontinued + period of time to retain records (#10 below).
  9. **Type of Medium:** Indicate medium on which records information is stored: paper, machine readable, etc.
  10. **Retain: (SPECIFY ACTUAL PERIOD):** Enter number of years, months, weeks, or check "Permanent" to indicate period of time for retaining the records. Provide justification to the PRB for proposed permanent retention or retention period of 25 years or more.
  11. **After: (SPECIFY EVENT):** If no event is specified in this field, records retention period begins with record creation. Use this field only to indicate that a specific event must occur prior to the retention period starting. If closed, specify the event that closes the file.
  12. **And: (DISPOSITION):** Check the appropriate category to indicate disposition of the records after the retention period has expired. Only one disposition may be checked.
  13. **Records Series Description:** A records series is defined in s.16.61(2)(c), Wis. Stats. The description is the most important section of the RDA. It tells the PRB and others who are unfamiliar with the records series what information is contained in it and why the series is created and maintained. Include statute or rule citations in the description to clarify the content of the records and the authorization to create them. Also add additional information to the description if needed for agency staff to manage the records, i.e., conditions that must be met prior to disposition.
  14. **Filing Arrangement:** Check one or more boxes to indicate how the records series is filed.
  15. **Records Contain Personally Identifiable Information:** Check YES or NO. 1991 Wisconsin Acts 39, 269 and 317 require agencies to identify records series that contain personally identifiable information, i.e., information that can be associated with a particular individual through one or more identifiers or other information or circumstances, excluding the following:
    - Mailing Lists
    - Telephone Directories
    - Records Series pertaining exclusively to employees of the agency
    - Records Series relating to state agency procurement or budgeting**Contact Name/Telephone Number:** The law also requires the agency to identify who may be contacted for further information on such records series [s.16.61(3)(u), Stats].
  16. **Records Series is Confidential:** Check either YES or NO. Provide citation authorizing records series confidentiality, or provide written justification to PRB explaining records confidentiality.
  17. **Approval Signature:** One agency official (Agency Program Manager) and the Agency Records Officer must sign the RDA. It is recommended to have the Agency Legal Counsel, Risk Manager and Legal Custodian of the records review and approve the RDA before submitting it to the PRB for approval. PRB approval is required prior to implementation.
- Contact PRB staff at the Wisconsin Department of Administration, Records Management Section, for RDA training information and assistance: Telephone: (608) 266-2995 or email Kathleen.Gerke@Wisconsin.gov