

Records Retention / Disposition Authorization - Functional

[Program Title]
[Agency Name] [Agency Number]
[Division Name] | [Subdivision/Bureau/Office] | [Unit Number]

Program Description:
Laws & Requirements:
Electronic Systems:

Official Records & Copies:

- **Official Record:** A complete, final, and authorized version of a record, often containing an original signature or seal.
- **Working Copies:** Staff may generally destroy rough draft materials that are subsequently finalized and maintained as part of the official record. However, staff should retain significant drafts when needed to document the decision-making process within the official record.
- **Reference or Convenience Copies:** Staff may maintain duplicate or working copies of records described in this schedule for reference and/or convenience purposes. Copies may be retained for as long as needed, but they should not be kept longer than the time specified in the approved RDA for the official record in this schedule. Do not maintain **unnecessary** duplicate copies. When retained for convenience or reference only, copies are considered non-records under Wis. Stat. § 16.61(2). Do **not** send copies to storage or retain them for longer than the retention periods specified for the official copy.

Confidentiality of Records:

Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

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[Program Title]
[Agency Name] [Agency Number]
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Name of Agency Program Contact or Records Officer: (Provide Name, Telephone and Email)
Additional Contact name and telephone number/email address

Approval Signatures

Agency Program Manager	Date (mm/dd/ccyy)	Agency Records Officer	Date (mm/dd/ccyy)
Additional Signature		Additional Signature	

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)	PRB Executive Secretary	Date (mm/dd/ccyy)
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Approval subject to 10-year sunset per Wis. Stat. § 16.61(4)(c). Action required before: _____

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[illegible]

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Related Records Series or Statewide General Records Schedules (GRS) Follow the retention provisions specified in applicable approved agency specific retention schedules and Statewide General Records Schedules. <i>Note: information only</i>		
RDA Number	Record Series Title and Description	Notes/Comments

Closed/Superseded Series <i>Note: information only</i>			
RDA Number	Record Series Title	Status	Notes/Comments

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[illegible]

Instructions for the Records Retention Schedule

Header

Program Title (r)¹

Identify the title of the program that creates and/or is responsible for the records.

Agency Name (r)

Identify the entity that has legal custody of the records, using correct names. Do not use acronyms or abbreviations.

Agency # (r)

- **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.

Division name (r)

- Identify the division that creates and receives the records. Do not use acronyms or abbreviations

Subdivision/Bureau/Program/Office (o)

Identify the subdivision, bureau, program, or office that creates and receives the records. Do not use acronyms or abbreviations

Unit number (o)

- Indicate the business unit # which has ownership and financial responsibility for records in this series if applicable.
- University of Wisconsin: Use the 6-digit UDDS # that the UW uses for accounting and budgetary purposes.

Program Description (r):

Give an overall summary and describe the who, what, and why of the program. It may also be helpful to include information about the program history and organization.

Laws and Requirements (o):

List Federal, State, Local laws, and/or Administrative Rules, including titles, that pertain to the program as a whole; include section/code number and title, if none, enter N/A. If applicable, record series specific laws should be included within individual RDA.

Electronic Systems (r)

Briefly describe computer program(s)/applications used within the program area. If not applicable, enter N/A. Note, it is not necessary to describe the basic MS Office programs in use.

For additional information and assistance implementing this retention schedule, contact (r):

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.

Approval Signatures (r):

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.

Functional Schedule Table:

1. RDA # / Status (r)

a. Retention/Disposition Authorization (RDA) # & Status:

- Prior to submission to the Public Records Board (PRB) for approval, every RDA must have a unique, sequential number. Agency Records Officers assign this number which is subject to PRB approval.
- The Records Officer must review past RDAs and then assign a number to new RDAs which has never been used.
 - 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.

b. RDA Status: Indicate if the RDA is:

- NEW: Request for approval of an RDA with a number that has never been submitted to the PRB. In the description, provide the reason for the creation of the RDA, for example: program re-organization, records identified during agency review, or brand new records being created.
- 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. 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). Use existing RDA number.

2. RDA Title / Description (r)

a. 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.

b. 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.
- May include relevant statutory, rule citations, or other legal authority in order to clarify the content of the records and the authorization to

¹ Optional fields are marked with an (o); required fields are marked with an (r).

Instructions for the Records Retention Schedule

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.

- If requesting approval of a new RDA, provide the reason for the creation of the RDA. For example: program re-organization, records identified during agency review, or brand new records being created.
- "Record series" is defined by Wis. Stat. § 16.61(2)(c).

3. **Records Series Year of Creation (r)**

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.

4. **Medium for Records Storage (r)**

Indicate all the media on which the records are stored such as paper, electronic/digital, microform, or other, e.g. audio, film, or video.

5. **Records Contain Personally Identifiable Information (r)**

- Enter Y (Yes) or N (No)

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 this RDA must be destroyed confidentially due to PII content, indicate yes even if some, but not all, of the records included in the RDA contain PII. If YES, complete #6. If NO, do not complete #6.

6. **Personally Identifiable Registry (r)**

- Enter Y (Yes) or N (No)

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., indicate YES. Note: When this column is marked YES, the information in this RDA will be excluded from the PII Registry. When marked NO, the information in this RDA will be included in the PII Registry.

7. **Records Series is Confidential or Access is Limited (r)**

- Enter Y (Yes) or N (No)
- Indicate "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.
- 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 or have limited access.
- For purposes of record retention and destruction, Wisconsin's Public Records Law and related statutes govern public access to records including certain confidentiality provisions.

8. **Essential (o)**

- Enter Y (Yes) or N (No)

Records needed for the Continuity of Operations (COOP) during and following an emergency. These are records an agency must have to perform one or more of the following critical functions: operate during an emergency; resume or continue business after an emergency; re-establish the legal, financial, and/or functional status of the agency; rebuild the community after the crisis passes.

9. **Official Record Location (o)**

Every agency has to decide which document is their official record and subsequently which one must be managed by the RDA. How a record is generated and whether or not it is a copy (photocopied, imaged, in a certain media) is not as important as being able to authenticate its originality. Indicate the location of the official record.

10. **Retention / Disposition (r)**

- a. **Retention Time Period:** SPECIFY AN ACTUAL TIME-PERIOD. Enter the number of years, months, weeks, or "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

Instructions for the Records Retention Schedule

Guidelines for the Permanent Retention of Records.

- In the description 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 the description.
- b. **Event:** 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.
 - **FIS:** The retention time-period is initiated by the end of a fiscal year, 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, use "other". You must also state the event. You may provide a detailed description of the event within the Records Series Description if more space is needed.
- c. **Disposition:** Indicate the disposition of the records after the retention time-period has expired. Only one disposition may be listed. Dispositions are:
- Destroy
 - Destroy confidential
 - Transfer to State Archives (WHS)
 - Transfer to Other Location (Specify)
 - Transfer to UW Archives
- Indicate "Destroy Confidential" if the record series contains personally identifiable information (PII, see # 5), of the record's access is restricted by law (see # 7). If a record series is marked as "destroy Confidential," then the record destruction shall comply with all relevant legal requirements.

11. **Program area (o)**

A descriptive name for the functional grouping of records.

Reference Information:

Related Records Series or Statewide General Records Schedules (GRS) (o)

List any agency records schedules or statewide General Records Schedules (GRS) that relate to the program.

Closed/Superseded Series (o)

List closed/superseded series that relate to the program described in the functional schedule. These series are

included for agency reference purposes only. To close or supersede a schedule, complete form [DOA-3806](#).

Revision History (o)

List any revisions to the schedule; include the RDA number that was revised, the series title, and the action taken.

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:

- a. [Statewide General Records Schedules](#)
- b. [Wis. Admin. Code ch. Admin 12](#)
- c. [Records Management Fact Sheets](#)