

RECORDS RETENTION/DISPOSITION AUTHORIZATION

INSTRUCTIONS:

PLEASE TYPE

- See reverse for detailed instructions
- In accordance with s.16.61, Wis. Statutes, this form must be completed, approved by the Agency and the Public Records and Forms Board (PRFB) within one year of creation of the records series and prior to disposition of any public record.
- Shaded areas to be completed by Agency Records Officer. If you have any questions regarding completion of the RDA, contact the Agency Records Officer.
- Agency Records Officer: Review & approve RDA, Assign RDA #. Forward original only to the PRFB. Maintain an agency copy during the Board's review process.

1. RETENTION/DISPOSITION AUTHORIZATION # (RDA)	
Sequential #	Suffix #
2. Agency #	3. Division #

4. AGENCY NAME University of Wisconsin System		5. Type of Request <input checked="" type="checkbox"/> New <input type="checkbox"/> Amended
Division Name All University of Wisconsin System Institutions	Subdivision Name	6. Old RDA System # (8 digits)

7. RECORDS SERIES TITLE

Employment Application Records: Criminal Background Check of Applicants

8. Record Series Life Cycle Dates			9. Type of Medium				
Year Created 2007	Year Discontinued N/A	Yr. of Final Disposition N/A	Paper <input checked="" type="checkbox"/>	Microform <input type="checkbox"/>	Machine Readable <input type="checkbox"/>	Audio Recording <input type="checkbox"/>	Other (Specify) Electronic <input checked="" type="checkbox"/>
10. RETAIN: (SPECIFY ACTUAL PERIOD)			11. AFTER: (SPECIFY EVENT. If event is not specified, retention is based on creation)				
Yrs 7	Mo	Wks	Prmanent	EVT = Hiring Decision is Made and Search and Screen Process is Completed			
			<input type="checkbox"/> Closed/terminated/death	<input type="checkbox"/> Superseded	<input type="checkbox"/> Entered into DataSystem	<input type="checkbox"/> Microfilmed	
12. AND: (DISPOSITION)							
<input type="checkbox"/> Destroy	<input checked="" type="checkbox"/> Destroy	<input type="checkbox"/> Confidential	<input type="checkbox"/> Transfer To State	<input type="checkbox"/> Transfer To State	<input type="checkbox"/> Transfer To UW	<input type="checkbox"/> Transfer To UW	<input type="checkbox"/> Transfer To other (Specify):

13. RECORDS SERIES DESCRIPTION

This Records Disposition Authorization applies to every University of Wisconsin System institution, and regulates only the employment application records that are related to the criminal background check of applicants. These records include, but are not limited to: (1) the confidential self-disclosure job 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 making hiring decisions, which document the decision-making process for determining whether an applicant's criminal background is substantially related to the requirements of the employment position; and (4) records related to notifying applicants of a decision not to hire, due to the substantial relation of the applicant's criminal background and the requirements for the employment position.

If an applicant is not hired, then it is advisable to retain the employment application files that are related to the criminal background check of applicants for no more than seven years. If an applicant is hired, however, then it is advisable to file and retain the employment application records that are related to the criminal background check of applicants as part of the employee personnel file.

14. Filing Arrangement (Check all appropriate categories)				15. Estimated Annual Accum.	
<input checked="" type="checkbox"/> Alpha	<input type="checkbox"/> Numeric	<input type="checkbox"/> Chronologic	<input type="checkbox"/> Subject	<input type="checkbox"/> Disarranged	Unknown
16. Records contain personally identifiable information (If Yes, Contact Name & Phone #)			17. Records Series Is Confidential (If Yes, Statute/Code)		
<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes - specify: Social Security Numbers; Personally-identifiable information		<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes-specify:	

18. APPROVAL SIGNATURES

Agency Program Manager	Date
Agency	Date
Agency	Date
Agency	Date

State Archivist

Date

Executive Secretary - PRFB

Date

Records Retention/Disposition Authorization INSTRUCTIONS

1. **Retention/Disposition Authorization (RDA) #:** The Agency Records Officer assigns the RDA number.
 - SEQUENTIAL #: The Agency Records Officer begins with 0001, 0002, etc. and assigns the number before submitting the RDA for Public Records & Forms 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: Chapter 20, Wis. Stats., assigns a 3-digit appropriation code to each agency.
 - 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 PRFB 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 PRFB; or the records were covered by the old RDA system, with 8-digit RDA system number.
 - AMENDMENT if requesting approval of a change to a new system RDA that was previously approved by the PRFB, with existing sequential RDA system number.
 6. **Old RDA System # (8-digit):** If applicable, indicate old system RDA #, e.g., 041/81/001
 7. **Records Series Title:** Assign a brief, descriptive title to the records series, e.g., Vehicle Certification and Verification Reports, Consumer Credit Examination Workpapers, Natural Resources Board Meeting Minutes. 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, microfilm, 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 PRFB 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 PRFB 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. **Estimated Annual Accumulation:** For paper records, how many cubic feet of this records series are created per year? Give a reasonable estimate of yearly, not total, accumulation here.
 16. **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].
 17. **Records Series Confidential:** Check either YES or NO. Provide citation authorizing records series confidentiality, or provide written justification to PRFB explaining records confidentiality.
 18. **Approval Signature:** At least two agency officials must sign the RDA: the Agency Program Manager and the Agency Records Officer. As needed, the Agency Legal Counsel, Risk Manager and Legal Custodian of the records should also review and approve the RDA before submitting it to the PRFB for approval. PRFB approval is required prior to implementation.
- Contact PRFB staff at the Wisconsin Department of Administration, Records Management Section for RDA training information and assistance:
Telephone: (608) 266-2995