State of Wisconsin Records Management Reference Guide for State Agency Records Officers

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Wisconsin Department of Administration

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I. Introduction

Pursuant to Wis. Stat. § 15.04(1)(i)-(j), Wisconsin state agencies are required to appoint a records officer and to establish and maintain a records management program. To assist state agencies in their records management efforts, the Public Records Board (PRB) prescribes policies for the retention of state records; the Department of Justice (DOJ) prescribes policies for access to and disclosure of public information. The Department of Administration (DOA) supports the work of the PRB; provides advice and assistance to state agencies in the establishment and operation of records management programs; operates a state records center and promulgates rules necessary for its efficient operation.

II. Purpose

This guide has been developed to provide state agency records officers with references to records retention policies and procedures to guide them in establishing and maintaining a records management program within their agency that is compliant with Wisconsin records management law.

III. Scope

This guide is intended for use by records officers within Wisconsin state agencies. As the mission of each state agency can vary widely, this reference guide provides information on that which is typically applicable to all state agencies.

IV. Wisconsin Records Management Law

Chapters 15, 16 and 19 of the Wisconsin Statutes prescribe the records management responsibilities of the PRB, DOA, DOJ and all state agencies.

Wisconsin Statute *§* 15.04 prescribes department head responsibilities, which includes designating a records officer to be responsible for coordinating and managing the records management functions within the state agency.

Wisconsin Statutes Chapter § 16.61 speaks to records management requirements for purposes of records retention.

Wisconsin Statute § 16.61(2)(b) defines what constitutes "public records" for purposes of the records retention obligations of state agencies.

Wisconsin Statutes § § 19.31-19.39 speaks to open records law, access to records, fees, limitation on access, enforcement and penalties.

Wisconsin Statute § 19.32(2) defines what constitutes a "record" for the purposes of the *access/ disclosure* mandate of the public records law.

For a list of additional records management related State Statutes and Administrative Codes see pages 6-8 and***, Wisconsin Records Management Law.***

V. Records Management Terminology and Definitions

For purposes of this guide, the following terms and definitions apply:

Confidential: This term can have two different definitions: 1) content within a record has personally identifiable information and therefore must be safeguarded while in use and destroyed in a confidential manner and 2) a record is designated with a restriction that limits the public's access and disclosure rights.

Disposition: The treatment of records that have met their retention obligation as defined in a Records Retention Disposition Authorization (RDA). Records in Wisconsin may be designated for transfer to the State Archives at the Wisconsin Historical Society (WHS) or the University of Wisconsin (UW) Archives if the Records Management Committee determines they have historical value. More often, records are destroyed. All paper records destroyed by the State Records Center (SRC) are shredded.

General Records Schedule: Records management is regulated by Wisconsin state law, and accordingly, General Records Schedules (GRSs) provide legal authorization to dispose of records common to a business function on a regularly scheduled basis. GRSs are a mechanism for consistent retention and disposition of similar types of records across all government units and provide assurance of accountability to the public. GRSs indicate the minimum time period a record must be maintained and the designation of whether or not the record series has been identified as having historical value warranting preservation at the WHS or UW Archives. All GRSs can be found in the Document Library on the PRB website.

Inactive Records: Records no longer used in the day-to-day course of business within an agency but which must be retained for their remaining lifecycle to meet fiscal, legal or historical obligations of the state.

Inventory: Official records maintained in their inactive state to complete the lifecycle prescribed in the associated RDA. Records inventory may exist electronically, physically on-site in an agency's offices, off-site at the SRC or off-site at an outside records management facility.

Non-Record: Information or documents that are not included within the scope of official records, e.g., convenience copies, working drafts, reference materials, etc.

Personally Identifiable Information: Wis. Stat. § 19.62(5) defines personally identifiable information (PII) as "information that can be associated with a particular individual through one or more identifiers or other information or circumstances". Although there are multiple references to PII in Wisconsin statutes, the definition in Wis. Stat. § 19.62(5) is applicable for records management purposes.

Record: A basic tool of transacting business on behalf of all units of Wisconsin Government. They are also the foundation for government accountability. Records are defined in both Wis. Stat. §16.62(2)(b) and Wis. Stat. §19.32(2) as follows:

- Wis. Stat. § 16.61(2)(b): "Public records" means all books, papers, maps, photographs, films, recordings, optical disks, electronically formatted documents or other documentary materials, regardless of physical form or characteristics, made, or received by any state agency or its officers or employees in connection with the transaction of public business, and documents of any insurer that is liquidated or in the process of liquidation under ch. 645. "Public records" does not include:
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  1. Records and correspondence of any member of the legislature.
  1m. Any state document received by a state document depository library.
  2. Duplicate copies of materials the original copies of which are in the custody of the same state agency and which are maintained only for convenience or reference and for no other substantive purpose.
  3. Materials in the possession of a library or museum made or acquired solely for reference or exhibition purposes.
  4. Notices or invitations received by a state agency that were not solicited by the agency and that are not related to any official action taken, proposed or considered by the agency.

5. Drafts, notes, preliminary computations and like materials prepared for the originator's personal use or prepared by the originator in the name of a person for whom the originator is working.
6. Routing slips and envelopes.

- Wis. Stat. § 19.32(2): "Record" means any material on which written, drawn, printed, spoken, visual, or electromagnetic information or electronically generated or stored data is recorded or preserved, regardless of physical form or characteristics, which has been created or is being kept by an authority.
- "Record" includes, but is not limited to, handwritten, typed or printed pages, maps, charts, photographs, films, recordings, tapes, optical disks, and any other medium on which electronically generated or stored data is recorded or preserved. "Record" does not include drafts, notes, preliminary computations, and like materials prepared for the originator's personal use or prepared by the originator in the name of a person for whom the originator is working; materials that are purely the personal property of the custodian and have no relation to his or her office; materials to which access is limited by copyright, patent, or bequest; and published materials in the possession of an authority other than a public library that are available for sale, or that are available for inspection at a public library.

Note: The above two definitions of 'record' are similar but not identical and they are not interchangeable. Wisconsin Statute § 16.61(2)(b) is used to manage the retention of records and Wis. Stat. § 19.32(2) is used for purposes of responding to public records requests. This reference guide is intended to address records retention management.

Records Series: A group of records arranged together as a unit and pertaining to a particular subject.

Restricted: Records designated by Wisconsin Statute as closed to public access and/or disclosure.

Record Retention Disposition Authorization: Provides information as to the record content, format, length of the retention period, official record location and disposition at the end of the record's lifecycle. The forms, PRB-001 and PRB-003, can be found in the Document Library on the PRB website, is used to write and maintain single, agency-specific RDAs. The terms RDA and retention schedule are often used interchangeably.

All RDAs for state agency records must be approved by the PRB. RDAs, when approved by the PRB and signed by that state agency's official, are considered policy within that agency.

Records, whether stored electronically, in an office, at the SRC or in any other location, ***cannot be disposed of*** without a fully executed, active and appropriate RDA.

Other definitions associated with RDAs include the following:

- ***Amended RDA:*** RDAs must be amended when there is a change to the terms of the originally approved RDA. For example, a program may need to amend a RDA when laws or requirements change the needed length of retention; the description may need to be revised because the program changed; the records may now need to be transferred to an archival repository vs. destroyed at the end of the lifecycle; or, the event that starts the retention time may change, etc. A RDA may be amended at any time during its active period. It is better to amend a RDA sooner rather than later to ensure proper maintenance of the agency's records and to be fully compliant with records management laws. Amended RDAs must be re-approved by the PRB.

- ***Closed/Obsolete RDA:*** The terms closed and obsolete are inter-changeable. The RDA Change Request, DOA-3806, form defines and uses the status 'closed' where the SRC database, Versatile, uses the term 'obsolete'. A RDA is closed when the records it covers are no longer being created or received and are not expected to be again. For example, if the State Legislature eliminates a state program, new records would most likely at some point no longer be created or received. At that point, the RDA status could then be changed to "Closed or Obsoleted". *Note: Even though no new records are being created under closed RDAs, the original records created when the RDA status was active must still be retained following the original RDA retention schedule.*

- ***New RDA:*** Newly created to retain records, e.g., a new program is being implemented for which new records will be created. Pursuant to Wis. Stat. 16.61(4)(b), state agencies must create and submit a new RDA for PRB approval within one year of the creation of the new records and prior to any disposition.

- ***PRB-001:*** PRB form used to submit and maintain single new, renewed and amended RDAs.

- ***PRB-003:*** PRB form used to submit and maintain a grouping of new, renewed or amended RDAs. Pertains to a particular subject and are arranged together as a functional unit within an agency.

- ***Renewal RDA:*** A RDA that has met, or is about to meet, its sunset date. To maintain statutory compliance and allow the state agency uninterrupted destruction or transfer of records that have met their lifecycle, RDAs must be renewed before their sunset date. The PRB must approve RDA renewals. Once approved, the RDA receives a new 10-year sunset date. If an agency is not able to complete the renewal process prior to the RDAs sunset date, the RDA Extension Request form in the Document Library on the PRB website should be used. This will allow the agency additional time to complete the renewal process.

- ***Retention Indicators:*** *The following are used to identify the beginning of the retention period for records.*

  - **Creation = CR:** Is used when the *creation* of the record initiates the retention time period. (*Example*: If a RDA existed for ABC Annual Reports, the event might be written as CR + 3 meaning an ABC Annual Report must be retained for three years after it is *created*.)

  - **Fiscal = FIS:** Is used if the retention time period is initiated by the end of a *fiscal year*. (*Example*: RDAs that exist for annual budgets might be written as FIS + 6 meaning a budget would have to be retained for six years after the end of that *fiscal year*.)

  - **Event = EVT:** Is used if a specific event other than CR or FIS initiates the retention time period. (*Example*: A RDA that exists for a housing relocation program has the event written as *"EVT + 5; Event=Approval Letter for Relocation Plan"*. In this scenario, it means all records associated with this RDA have to be retained for five years after the official letter was sent by the state to approve the relocation plan.)

- **Sunset**: Means expired. A RDA is sunset ten years after its PRB approval date. Once a RDA has sunset it must be acted upon to maintain statutory compliance. Appropriate actions include renewing, extending, closing, or superseding the RDA. Records, regardless of how or where they are stored, cannot be destroyed while a RDA is in sunset status because the RDA is no longer effective.

- **Superseded RDA**: A RDA is superseded when it is replaced by another RDA. When a supersede action is initiated there are always two RDAs involved, the superseded and superseding. The superseded (replaced) RDA will be closed citing the superseding (replacement) RDA. Any records associated with the superseded RDA would then be changed to be associated with the superseding RDA. For example, when a program re-evaluates their RDAs or is re-organized, they may find that records covered by one RDA within the agency could also be covered by another separate but similar RDA within the agency. Or, an agency may find that a RDA in a GRS could instead be used for program records. The appropriate action would be to supersede the RDA which is no longer necessary. The end result will be that any existing records from the superseded RDA will be transferred to the newly identified superseding RDA. This action assures that all associated records will be governed by the same retention and disposition requirements. Once the superseded RDA has had existing inventory transferred to the correct RDA it will be closed and no longer available for use. For records stored at the SRC this action of transferring inventory is performed only in the Versatile database. Records would not physically change locations. See the PRB-001 form for further definition.

Records Information Management Month (RIMM): First observed in 1995, April is internationally known as RIMM. The goal of RIMM is to emphasize the value and importance of organizing and maintaining records in all media. Each April, our Governor issues a proclamation declaring April as Records and Information Management

Month in Wisconsin. This makes April a good time to initiate activities to support records management programs within state agencies.

User: Versatile database term. A user is assigned a User ID and granted database access when authorized by the state agency records officer. Within each agency users may be comprised of the records officer, record coordinators or other staff designated to manage daily records inventory tasks on behalf of the agency. For the SRC to maintain secure access to state agency records, only those authorized by records officers will be given access to Versatile. See DOA-3807, SRC User Authorization form, on the SRC website.

Versatile: An inventory and RDA management system developed by Zasio and used by the State of Wisconsin. The SRC utilizes the Enterprise version while state agencies utilize either the Web or Citrix version.

VI. Records Management Oversight and Responsibilities

There are several areas of responsibility for the management of state agency records.

State Agencies: Pursuant to Wis. Stat. §15.04(1)(i) and (j), each head of a department or independent agency shall: Establish and maintain a records and forms management program; and, appoint a records and forms officer**,** who shall be responsible for compliance by the department or independent agency with all records and forms management laws and rules and who may prevent any form from being put into use.

Department of Administration: Pursuant to Wis. Stat. §16.62(1), DOA shall establish and maintain a records management service to; Wis. Stat. §16.61(2)(a), advise and assist state agencies and the University of Wisconsin Hospitals and Clinics Authority in the establishment and operation of records management programs through the issuance of standards and procedures and provision of technical and management consulting services; Wis. Stat. §16.62(1)(b) operate a state records center and a central microfilm facility for state agencies and the University of Wisconsin Hospitals and Clinics Authority and to promulgate rules necessary for efficient operation of the facilities; and, Wis. Stat. §16.62(1)(c), periodically audit the records management programs of state agencies and the University of Wisconsin Hospitals and Clinics Authority and recommend improvements in records management practices. In addition, DOA supports the records retention work of local units of government on behalf of the PRB.

Public Records Board: Is responsible for the preservation of important state records, the orderly disposition of state records that have become obsolete and cost-effective management of records by state agencies. State agencies must have written approval from the PRB to dispose of records the agency generates or receives. Statutory authority for the PRB is found in Wis. Stat. § 16.61.

The PRB is comprised by a designee of the Director of the Wisconsin Historical Society; a designee of the Attorney General; a designee of the State Auditor; a designee of the Legislative Council Director; a local government designee of the Governor; a small business designee of the Governor; and two other designees of the Governor. In addition, pursuant to Wis. Stat. §16.61(3L), DOA names a non-voting executive secretary to administratively support the work of the PRB.

The PRB's oversight and accountability is performed collaboratively with Wisconsin governmental entities to assist in their compliance with records retention and preservation requirements. The PRB meets quarterly in Madison. In addition, a committee of the PRB, the Records Management Committee, also meets quarterly in Madison.

- Records Management Committee (RMC): This committee reviews all RDAs from state agencies and local units of government submitted for PRB approval. The committee may ask for clarifications or additional information from agency records officers on their submissions before ultimately recommending the PRB approve or deny the RDAs. The committee is chaired by a member of the PRB and comprised of one other PRB member, a WHS archivist and other members if designated. The RMC meets quarterly in Madison, usually one month before the PRB meetings.

More information on the PRB, including its annual meeting calendar and materials it has developed may be found on the PRB website.

State Records Center: Pursuant to Wis. Stat. §16.62(1)(b), DOA operates a state records management facility and promulgates rules necessary for its efficient operation. Pursuant to Wis. Stat. §16.62(2), the department may establish user charges for records storage and retrieval services and structure such charges to encourage efficient utilization of those services. The SRC is a secure, low-cost facility that offers off-site records management services to Madison-based state agencies and nearby local units of government The SRC's primary function is to serve agency needs for records security, maintenance and disposition of state agency inactive records.

The SRC utilizes Versatile Enterprise, a records retention system developed by Zasio, to perform many of its inventory functions including the semi-annual destruction/transfer review of records having met their lifecycle. Records officers and record coordinators utilize the Web or Citrix versions of Versatile to do routine inventory tasks for their agency such as adding new, requesting existing, or analyzing inventory. Versatile is also used to maintain RDAs. Records officers and record coordinators can review their agency's RDAs and all GRS RDAs. To maintain the security and confidentiality of state records, access to Versatile is limited to only those state employees authorized by their agency records officer through the SRC.

More information on the SRC along with required forms for managing state agency inventory may be found on the SRC website.

Records Officers: Pursuant to Wis. Stat. §15.04(1)(j), each state agency is required to designate a records officer who is responsible to coordinate and manage records management functions within the agency.

The PRB and DOA look to the state agency's designated records officer as the primary individual responsible for the development and/or maintenance of agency records management practices in compliance with public records laws, policies and procedures. Some agencies designate a dedicated, full-time records officer. In other agencies the records officer has multiple responsibilities, a portion of which is to serve as that agency's records officer. In some agencies the records officer may be assisted in his/her work by designated records coordinators at the division, bureau, program, or business unit level**.** Key responsibilities for records officers **include, but are not limited to**, working with records coordinators, other designees and/or work units to:

- *Keep agency RDAs current –*
  - In a timely and consistent manner, conduct records management business needs analyses to:
    - ✓ Develop new RDAs to meet program needs.
    - ✓ Ensure new RDAs are developed within one year of the creation of a new program or record series within the agency.
    - ✓ Review RDAs when the agency-requested retention period is over 50 years for sufficient statutory, administrative code, rule or other justification.
    - ✓ Supersede existing RDAs within the agency or with GRS RDAs when possible and applicable to consolidate and/or combine.
    - ✓ Extend RDAs if the agency cannot renew them prior to their sunset.
    - ✓ Amend RDAs when necessary.
    - ✓ Close RDAs when applicable.
    - ✓ Submit RDAs to the PRB for renewal or extension before their ten year sunset date allowing the agency to destroy or transfer records when their lifecycle has been met.

  Remember, no record may be destroyed or transferred to an archival repository without an appropriate and active RDA.

- *Manage the agency's records inventory -*

- Ensure the agency's inactive records are stored and managed in an agency approved, secure environment until their lifecycle has been met.
- Ensure the agency responds as completely as possible to the SRC's semi-annual records disposition cycle with authorization to destroy or transfer records stored at the SRC that have met their lifecycle.
- Following the instructions on the semi-annual records disposition cycle packet, work within the agency to limit the number of records withheld from destruction and transfer.
- Regularly select random entries in Versatile to verify the accuracy of data entered by agency records coordinators or similar, and the SRC, to maintain accurate dispositions for the agency.
- Establish and maintain at least annual communications and procedures to evaluate the disposition of records stored on-site within the agency. Determine if inactive records should be sent to the SRC for lifecycle management; if expired records should be transferred to the Archives at the WHS or UW; or, if records are eligible for destruction.

- *Educate and train agency employees -*
  - Train new employees at all levels within the agency on records management obligations of the state and their agency's procedures.
  - Regularly provide records management refresher training to existing employees.
  - Regularly provide records coordinators with refresher training and updates on changes to records management policies, procedures, materials and resources.
  - Ensure Versatile authorized users are fully knowledgeable on its use.

  Note: In some agencies the records officer will directly provide training and education for employees. In other agencies the records officer may partner with or support this training through a training officer or other designated resources.

- *Administer records management policies and procedures -*
  - Be knowledgeable of and conversant on all State of Wisconsin records management laws and requirements.
  - Provide oversight to comply with all records management laws and requirements.
  - Provide oversight to safeguard and protect confidential, personally identifiable and sensitive information in the agency's custody.
  - Distribute new records management materials within the agency when created or revised by the PRB, DOA or the agency with clear instructions for implementation.
  - As needed, create and maintain a records coordinator or similar infrastructure within the agency to effectively manage records at the division, bureau, section and/or work unit level.
  - As needed, develop duties for records coordinators to help with records management practices.
  - As needed, maintain and make available a current roster of records coordinators or similar with contact information for employee use.
  - Work with supervisors, records coordinators or similar to ensure that the records of departing employees are secured and available within that program for the future.
  - Ask for help as needed from DOA's staff at the SRC, other agency records officers, agency management or legal counsel.

Records Coordinators or Similar: Many agencies designate records coordinators to help the records officer manage the day-to-day records activities at the division, bureau, section or work unit level. These individuals may not officially report to the records officer however they can be an important part of the agency's records management processes. Responsibilities for their assigned work area may **include but are not limited to:**

- Be knowledgeable of all RDAs for their assigned business unit, answering questions from staff as necessary.
- Ensure employees are aware of the appropriate RDAs to use for their program area.
- Ensure designated staff know how to package and ship records to the SRC following the instructions on SRC forms found on its website. Special n*ote: Record boxes to be stored at the SRC cannot weigh more than 30 pounds. This SRC 30 pound weight limit is also applicable when agencies are shipping personnel files or records to be destroyed. Not sure how to tell when you've hit the 30 pound limit per box? Think of not exceeding the weight of six reams of paper. Each ream weighs 5.2 pounds.*

- Ensure employees know how to safeguard sensitive records in their work area.
- Ensure the records of departing staff are secured and maintained by their supervisor.
- Ensure new employees are made aware of records management training.
- Communicate and implement records management policies, procedures and materials.
- Help program staff with all aspects of RDA-related work.
- Maintain hands-on working knowledge of Versatile.
- Utilize Versatile on a regular basis to input, retrieve and otherwise manage inventory stored at the SRC as authorized by the records officer.
- Ask for help from their records officer or supervisor as needed.

Employees: Employees have the frontline, hands-on responsibility to determine what is and is not a record and then take the appropriate action. Within their area of work, employees are responsible to:

- Know the difference between a record and non-record.
- Know that records consist of all forms of media.
- Know that records belong to the state and stay with the program/work area.
- Save and schedule the retention of records according to the appropriate RDA.
- Safeguard confidential, sensitive and PII information or data appropriately.
- Not destroy any record unless they are following an active RDA.
- Err on the side of caution.
- Ask for help from their supervisor, records coordinator or records officer.

Training and Education: The responsibility for training and education is shared by the PRB, DOA, records officers, records coordinators or other staff as designated. DOA primarily provides training and education to new and less-experienced records officers using a train-the-trainer approach. Seasoned records officers primarily provide training and education within their agency. In agencies where the records officer is not authorized to train employees, the records officer should attempt to initiate these activities by partnering or supporting a designated training officer or similar.

- <u>New or Less-Experienced Records Officer Training and Education</u>: Held twice each year or as needed, this training is prepared and facilitated by DOA staff at the SRC. Approximately three hours of records management training is offered. In addition, approximately two hours of training on Versatile Web and/or Versatile Citrix is offered. This training is provided to records officers as a train-the-trainer experience. Once trained, records officers are responsible for the education and training of their records coordinators and agency employees on a regular basis. If needed and as resources allow, DOA staff at the SRC will assist the records officer with his/her first training sessions within their agency to support the train-the-trainer learning experience.

- <u>New Employee Training and Education</u>: This is typically provided by records officers for their agency on a regular and ongoing basis. Records management training should be considered an important part of new employee orientation within an agency whenever offered. Training materials found on the PRB website can be customized to the specific needs of the agency.

- <u>Refresher Training and Education for Existing Employees</u>: This is typically provided by records officers for their agency employees on at least an annual basis. Many agencies work to consistently provide training each April during RIMM. Materials found on the PRB website can be customized to the specific needs of the agency. Records officers may also seek agenda time in division, bureau, section and work unit meetings to educate and train employees on records management. This latter avenue of training and education is often the most effective as it speaks directly to staff and supervisors on the records they specifically create and receive.

- <u>Senior Leadership Education</u>: Records officers may be asked to meet one-to-one with their agency's senior leadership to inform them of state record laws and records management practices. Training materials found on the PRB website can be customized to the specific needs of the agency.

- Records Coordinator Training and Education**:** This is typically provided by records officers for their agency at least annually. This may include the introduction of new procedures or policies; a review of updated agency and GRS RDAs; a review of the work area's inventory; a review of sunset or soon-to-be-sunset RDAs; refresher training on Versatile; among other topics. Training materials found on the PRB website can be customized to the specific needs of the agency.

- Versatile Web and Citrix Training: Held twice each year or as needed, this training is prepared and facilitated by DOA staff at the SRC. The primary audience is records officers however training may also be provided to records coordinators and others who serve a key role with Versatile within agencies. For example, in some agencies the records coordinator may be the subject matter expert on Versatile and serve in a trainer role for other users of this records management system. DOA provides Versatile training as a train-the-trainer experience. Once trained, records officers or agency-designated Versatile subject matter experts are responsible to train their authorized users on a regular basis. If needed and as resources allow, the DOA staff at the SRC will assist the records officer with his/her first training sessions within their agency to support the train-the-trainer learning experience.

- SRC Tours: Tours can prove helpful to employees to better understand procedures and the magnitude of the inventory at the SRC. Each tour is facilitated by SRC staff, is approximately 1.5 hours in duration and is limited to 6-8 participants for records security purposes. Tours are typically offered in warmer weather months to reduce last minute cancellations and rescheduling. Visitor parking at the SRC is limited so participants are encouraged to carpool.

In addition, the DOA staff at the SRC will facilitate or assist state agencies and local units of government in their records management training initiatives when requested and as resources permit.

VII. Records Management Procedures

Procedures for purposes of this guide fall into two categories: A) Agency Records Retention Administration and B) Agency Records Inventory Management.

A. Agency Records Retention Administration: Records retention administration within an agency typically consists of maintaining RDAs; transitioning records of new and departing employees; training and educating; safeguarding sensitive information; and staying current with statewide policies and procedures and implementing such within the agency. At times records officers may be responsible for transferring ownership of records and RDAs when program areas move from one work area to another or from one agency to another.

- **RDA Maintenance:** Records officers work with records coordinators and/or program staff to help write new and maintain current RDAs. Records officers therefore benefit from a good working knowledge of each division/operating area within their agency. Depending upon the size of the agency, records officers typically rely on and partner with records coordinators for subject matter expertise on the types of records created in each division/operating area.

  Note: Once approved and signed by the PRB, an agency official and the records officer, RDAs become record policy statements within agencies. Therefore, the agency official who signs the RDA should be authorized within the agency or work area to support the implementation of RDAs as policy statements for the retention of those records. Records officers may want to verify the signature authority within their agency by checking with their manager or legal counsel. See the RDA instructions in the Forms section in the Document Library on the PRB website for more information.

- **Agency RDA Review Process:** To help agencies establish and maintain a regular process for reviewing their RDAs, the PRB's support staff at the SRC distributes a RDA Series Report to records officers each year, typically in January however records officers may apply their own approach to the timing of RDA maintenance within their agency. For example, records officers may perform a thorough analysis of their agency's RDAs when first assigned the role of records officer and then prioritize based on sunset dates and/or program needs. Or, records officers may perform, for example, a thorough analysis of their agency RDAs annually, quarterly or monthly. Regardless of the timing, records officers provide important oversight within their agency by staying informed of RDA needs through regular analyses of RDA status. Many choose to maintain an accurate, up-to-date master copy of every RDA within the agency and be well-versed on when RDAs need to be amended, superseded, renewed, extended or created.

The ***RDA Decision Tree,*** is a helpful tool to use when assessing agency RDAs. Also, the PRB website is a valuable resource to help manage RDAs. The site has a complete list of current general records schedules, the PRB's quarterly RDA review cycle and pertinent dates and copies of PRB forms.

- **Writing New, Renewing and Amending RDAs:** New RDAs, or existing RDAs that require a renewal or amendment, must be approved by the PRB. It is therefore important that the PRB members precisely understand the nature of the records for which a request in being submitted. While keeping the description as brief as possible, it must clearly describe the records. In addition, when the agency submits a RDA with a long retention period, the RMC and/or PRB may request the citation of a statute, Administrative Code, official rule, or other justification to support the request. Additionally, when an agency's submission claims the records are confidential, a citation or sufficient justification to support restricting the public's access to or non-disclosure of these records must be included in the content of the RDA presented for approval. If the RMC or full PRB does not fully understand any component of the RDA submission, they will ask the agency's records officer for clarification and if not sufficiently provided, may deny the submission.

  See the RDA forms in the Document Library on the PRB website for detailed instructions. It is important to fully read the instructions before beginning to create, renew or amend RDAs.

- **PRB Review Process:** The PRB must approve all new, renewed or amended RDA submissions.

  - ✓ The quarterly review process begins with a submission deadline approximately one month prior to RMC meetings.
  - ✓ The records officer submits its agency's RDAs to the PRB support staff at the SRC. The PRB support staff will contact records officers with initial questions, concerns or clarifications following the authority provided by the PRB. See***, Records Retention Schedule Review Checklist***.
  - ✓ PRB support staff compiles the submissions into a review packet for each member of the RMC.
  - ✓ RMC members individually and then collectively review all submissions. Records officers who have RDA submissions before the RMC are urged to attend the meetings whenever possible to answer questions the members may have on their RDA(s). Changes to RDAs or additional information requested by the RMC must be addressed by the agency and resubmitted to the PRB support staff at the SRC to advance RDAs to the next step.
  - ✓ The RMC members spend a significant amount of time each quarter reviewing every RDA submission. Following are common items that are often questioned during their review process:
    - Scheduling non-records such as copies or duplicates.
    - Scheduling of records already included in a GRS.
    - Unclear retention events.
    - Incorrect citation formats. See***, Format for Writing Citations.***
    - Citing old, outdated or wrong statutes, codes or rules.
    - Acronyms and abbreviations.
    - Confusing or incomplete descriptions.
    - Using the term 'system' when trying to schedule a database *(Note: databases cannot be scheduled.)*
  - ✓ After reviewing all RDAs, having all questions sufficiently addressed and any necessary changes made, the RMC then recommends the approval or denial of RDA submissions to the PRB at its next meeting.

- ✓ Once the PRB approves the RDAs the State Archivist and PRB executive secretary sign each RDA. Records officers are then sent copies of their approved RDAs. DOA stores the original RDA on behalf of the PRB at the SRC.

- ✓ If an agency's RDA is not approved by the PRB, it may be resubmitted as soon as the next quarter following the process described above. Unless the agency has a signed, active RDA, the records associated with it cannot be destroyed or transferred to the WHS or UW Archives.

  The calendar identifying submission deadlines, RMC and PRB meeting dates is posted on the PRB website.

- **Superseding or Closing RDAs:** These actions are not submitted to the RMC. The PRB executive secretary has authority from the PRB to approve these actions. RDA supersedes or closures may be submitted to the PRB support staff at the SRC at any time using DOA-3806, RDA Change Request. These requests are usually turned around within two weeks.

- **Extending RDAs:** Agencies may seek approval to extend RDAs twice, each for 18 months. The first request from an agency to extend a RDA is not submitted to the RMC. The PRB executive secretary has authority from the PRB to approve a first request. The second request must be approved by the PRB. See the RDA Extension Request form in the Document Library on the PRB website for more information.

- **Minor changes to RDAs that don't require PRB approval:** On May 12, 2014, the PRB authorized its executive secretary to make minor revisions to RDAs requested by records officers. The following RDA revisions may be submitted to PRB support staff at the SRC at any time. These requests are usually turned around within two weeks.

  - ✓ Changes in disposition between destroy and destroy confidential.
  - ✓ Adding or deleting a 'medium' such as adding electronic to what was previously a paper only RDA.
  - ✓ Non-substantive changes to the description, title and/or use case/examples, such as modifying the office of record, additions of or modifications to examples, identifying another user of the record, etc.
  - ✓ Addition or change to a citation.
  - ✓ PII and Confidential contact name changes.
  - ✓ Additions of or corrections to hyperlinks.
  - ✓ Spelling or grammar corrections.
  - ✓ Basic formatting changes such as font style and size.
  - ✓ Updating, adding or deleting contact names, addresses, email addresses, and phone numbers.

  In addition, the executive secretary has also been authorized to make the following changes to GRS' on behalf of the PRB:

  - ✓ Updates to GRS cover sheets.
  - ✓ Annotating existing RDAs in GRSs to highlight recent changes, e.g., referencing supersedes to another RDA, adding a brief summary of an amendment to the current RDA, etc.

- **Transitioning New Employees into an Agency:** In many cases employees new to an agency are also new to state government. To avoid the unintentional destruction of official state records, employees who are new to state government require training and education on state records management laws, policies and procedures soon after their arrival. This can be accomplished as part of new employee orientation. Agencies may choose to instead or additionally provide new state government employees with group or one-to-one training provided by the records officer, employee's supervisor, records coordinator, training officer or other designated personnel.

  In other situations, new employees move into an agency from another state agency or, move from one operating area within the agency to another. In these situations, employees need to be made aware of the RDAs which apply to the new area in which they will now work. This can be accomplished by the records officer, employee's supervisor, records coordinator, training officer or other designated personnel on a group or one-to-one basis.

Developing and maintaining established plans for training and educating new employees is critical to the success of the agency's requirement to identify and retain official state records according to the appropriate RDA.

- **<u>Transitioning Departing Employees Out of an Agency</u>:** Before employees leave agencies or program areas, it is important to have established procedures which are well-known by supervisors and/or records coordinators to maintain the integrity of records within operating units.

  Official state records stay with the program area to remain available to the supervisor and others in the work unit. Records may not be removed from the agency by the employee and records do not move with the employee to another work area. Before departing, employees must work with their supervisor or records coordinator to:

  - ✓ Organize their records in all media including emails following appropriate RDAs.
  - ✓ Clean out paper and electronic duplicates and non-records on shared and personal drives.
  - ✓ Identify all records with sensitive information for safeguarding to determine where and how they will be stored.
  - ✓ Determine whether inactive records will be boxed and shipped to the SRC, shipped to the State Archives at the WHS or UW or destroyed/deleted according to active RDA disposition requirements.

  Although employees may not remove records from the program area they may in some instances receive permission from their supervisor to make convenience copies when moving from one operating area to another. Records officers are encouraged to check with their agency legal counsel for policies specific to their agency.

- **<u>Training and Education</u>:** See *Section VI. Records Management Oversight and Responsibilities* for more information on records management education and training.

- **<u>Safeguarding Records</u>:** Securing sensitive and PII contained in records is the responsibility of all employees. Records officers assume an important role to ensure employees are informed of their responsibility to safeguard these records while in their custody. In education and training sessions and in agency materials, records officers, records coordinators and/or training officers should remind employees to consider:

  - ✓ Locking confidential records in a desk, overhead bin, file cabinet or similar area when not in use.
  - ✓ Labeling confidential records as "Confidential".
  - ✓ Disposing of confidential records in a secure manner such as shredding.
  - ✓ Not leaving confidential records unattended on desks or computers.

  The type of sensitive information varies by the agency. In some agencies it may be social security numbers and in others it may be driver's license numbers, home addresses, telephone numbers, bank account information or credit card numbers, etc. Regardless of the type of sensitive information, agencies assume the primary responsibility for safeguarding information while it is in the agency's custody.

- **<u>Implementing Policies and Procedures</u>:** The PRB produces new policies and materials for the management of records on a regular basis. The SRC may also change its forms or procedures when appropriate. It is therefore important that records officers proactively stay current with new and changing information and implement such to keep the agency compliant with records management requirements. Records officers are encouraged to actively participate in Records Officer meetings to stay abreast of current requirements and developing changes. They may also seek to participate in the OTAC to help develop and update records management materials. Records officers are urged to attend the RMC meetings when their agency has RDAs before the committee for review. They may also attend the PRB meetings. These regular meetings in addition to the resources available on the PRB and SRC websites all help to proactively keep records officers informed and knowledgeable of records management requirements. Additionally, notification of new, or changes to, policies and GRSs are sent to all records officers.

Contact the PRB support staff at the SRC with questions on RDAs and records retention policies and procedures, (608) 266-2996.

B. Agency Records Inventory Management: Inventory management includes oversight of official state records regardless of storage location, i.e., inventory in buildings, state computers, the SRC and any off-site storage company including Internet-based storage. It also includes oversight of official state records created in any medium, e.g., paper, electronic, tapes, reels, microform, CDs, DVDs, etc.

Records officers benefit from becoming familiar with the various storage locations used by their agency to retain records and access requirements. For some operations this may be a room filled with file cabinets or boxes. Other operating areas may use SharePoint or a dedicated or shared drive to centralize the storage of electronic records while others may store their records in Internet-based storage. Whether a physical or electronic record, all official state records must be retained at least until they have met their PRB approved lifecycle.

- **On-Site vs. Off-Site Inventory Management:** Agencies may choose to manage their records within their facility or at an off-site location. Space demands within state agencies are often the key determination in the agency's decision to retain records on-site or off-site. If an off-site location is decided upon, an agency may choose to use the SRC or an outside company which specializes in records inventory management.

  The most common off-site inventory management facility used by state agencies in the Madison area is the SRC. The SRC is operated by DOA under authority provided in Wis. Stat. §16.62(1)(b). The SRC has well-established, standardized procedures for records inventory management.

  As records officers are the primary contact and subject matter expert within each agency for records management, the PRB, DOA and SRC relies on them to maintain the integrity of their agency's Versatile user list, communicate inventory updates and authorize the disposition of inventory.

  Note: The SRC operates with a small staff and one truck to pick up and drop off records to/from agencies. To help reduce workplace injuries while loading/unloading the truck and climbing ladders to pull/place boxes on SRC shelves up to 12' high, boxes of records to be stored at the SRC cannot weigh more than 30 pounds. This SRC 30 pound weight limit is also applicable when agencies are shipping personnel files or records to the SRC for destruction. Not sure how to tell when you've hit the 30 pound limit per box? Think of not exceeding the weight of six reams of paper. Each ream weighs 5.2 pounds. Agencies should not use DOA Inter-departmental Mail Services to move state records to the SRC.

  SRC forms with procedures used to maintain records inventory can be found on the SRC website. They include: Inventory Change Request, DOA-3803; Inventory Delete Request, DOA-3804; Non-Indexed File Order form, DOA-3805; Inventory Pickup Request, DOA-3803; and Versatile User Authorization, DOA-3807. All may be found on the SRC website under Forms. Also, see***, PRB and SRC Forms.***

  The SRC fee schedule can found be on the SRC website. See SRC on page 7 or the SRC website for more information.

- **Records Inventory Disposition Process:** To fulfill one of its primary responsibilities of proper records disposition, DOA has established a semi-annual disposition process. Twice a year, typically June and November, the SRC provides each records officer with a list of their agency's inventory stored at the SRC that has met its full lifecycle and is therefore eligible for destruction or transfer to the WHS or UW Archives. This list is emailed with a packet of information which includes instructions for communicating within the agency and back to the SRC. For security purposes, the SRC will not accept responses from anyone other than the records officer.

Agencies are given approximately five weeks to complete each semi-annual internal review and respond to the SRC. Records officers are encouraged to work closely with records coordinators, business unit staff, legal counsel and other key decision-makers before responding to ensure that no record is destroyed or transferred prematurely. When there are records that, although they have met their lifecycle, cannot be destroyed or transferred, they are designated as 'holds'. The RDA forms state that, "Public Records Approval – Authorization is contingent on restrictions to the 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". In addition, Wis. Stat. §16.61(4)(c), states in part, …" During the effective period, if approved by the board and the board has assigned a disposal authorization number to the public record or record series, a state agency may dispose of a public record or record series according to the disposition requirements of the schedule without further approval by the board". Therefore, if a RDA governing the retention of the records is inactive or under development the records may not be destroyed.

Once the SRC receives the agency's authorization, SRC staff will spend 3-4 months pulling that inventory from its shelves. Regardless of content, all inventory stored at the SRC with a 'destroy' disposition is destroyed confidentially. Records that have met their lifecycle but are designated via the RDA for transfer to the WHS or UW Archives are isolated for review by WHS and UW Archives staff. Those determined to have historical value are physically moved to the appropriate Archives.

While the SRC has a standardized process for the timely disposition of inactive records it manages for agencies, agency employees also need to be reminded periodically to evaluate records they have stored at their desk, in their computer or in their work area. Records which have never been stored at the SRC and with a disposition of destroy can be thrown away or deleted providing they have met their full lifecycle and the RDA is active. Careful attention should also be given to records with destroy confidential status to ensure they are disposed of in a manner to protect their confidentiality, e.g., shredding. The WHS and UW Archives have processes in place for receiving transferred records from agencies when that is the appropriate disposition. For transfer records stored in your agency that have never been stored at the SRC, records officers must contact the WHS or UW directly for their processes.

The WHS and UW Archives are available to help agencies determine whether or not specific records may have historical value to the state. Contact the Public Records Accessioner, (608) 261-1037 at the WHS or the University Archivist, (608) 265-1988 at the UW Archives with questions.

For inventory-related questions including procedures contact the Office Operations Associate at (608) 266-2995. For inventory issues or project planning, contact the Inventory Control Supervisor at (608) 264-9506.

- **Transferring 'Ownership' of Records:** Occasionally the custody of records moves from one agency to another or from one program area within an agency to another. This generally occurs due to reorganizations. The records officer has the initial responsibility to proactively manage these changes.

Agency to Agency: The records officer in the agency that currently has responsibility for the records initiates the change by contacting the records officer in the other agency and the SRC to effect the change. RDAs and records inventory are reviewed. When the records officers determine which of each should be transferred, the SRC is contacted to make the changes in the Enterprise Versatile system. Although no records at the SRC physically change hands, the ownership moves from one agency to another on paper and within the inventory management database. When records exist on-site at the first agency, they should be physically or electronically moved to the other agency.

Within an Agency: The records officer works with records coordinators or others to effect custody changes within an agency. Records officers would still work with the SRC on these changes as RDAs, inventory and billing information will most likely change.

SRC forms used to manage inventory ownership changes: RDA Change Request (DOA-3806) and Inventory Change Request (DOA-3803).

Resources and Examples

- Wisconsin Records Management Statutes and Administrative Code (Most referenced)
- Format for Writing Statute Citations
- RDA Decision Tree
- RDA Checklist
- List of DOA Records Management Forms
- Sample of Completed PRB-001 (RDA Form) – Amendment
- Sample of Semi-Annual Records Disposition Cycle Packet
- Additional Resources

Wisconsin Records Management Law

The following Wisconsin statutes and Administrative Codes prescribe records management obligations for state agencies.

Wis. Stats. §15.04 ***Duties of Department Heads***

- 15.04(1)(i) Establish and maintain a records and forms management program
- 15.04(1)(j) Appoint a records officer

Wis. Stat. 15.07(2) Elections of officers of Boards, including the Public Records Board
Wis. Stat. 15.105(4) Public Records Board composition

Wis. Stats. §16.61 ***Records of State Offices and Other Public Records***

- 16.61(1) Public Records Board responsibilities
- 16.61(2)(b) Definition of public records and exceptions (non-records) for retention purposes
- 16.61(3) Powers and duties of the Public Records Board
- 16.61(4)(a-c) Records are property of the state; agencies shall submit retention schedules; retention schedules are valid for 10 years
- 16.61(5) Transfer of records to optical disk format
- 16.61(6) Microfilm reproduction of public records
- 16.61(12) Authority to reproduce, access to copies
- 16.61(13) Historical Society and UW Archives as depositories

Wis. Stats. §16.62 **Records Management Service**

- 16.62(1) DOA shall establish and maintain a records management service
- 16.62(1)(a) DOA to advise and assist state agencies and the University of Wisconsin Hospital and Clinics Authority (UWHC) in the establishment and operation of records management programs
- 16.62(1)(b) DOA to operate a records center and promulgate rules for its efficient operation
- 16.62(1)(c) DOA to periodically audit state agency and UWHC records management programs
- 16.62(2) DOA may establish user charges

Wis. Stat. §§19.31-19.39 ***Open Records Law or Public Records Law:*** *Access to Records, Fees, Limitations, Enforcement and Penalties*

- 19.31 Declaration of policy
- 19.32(2) Definition of records for access and disclosure purposes
- 19.33 Legal custodians
- 19.34 Procedural information
- 19.35 Access to records, fees
- 19.36 Limitations on access and withholding
- 19.37 Enforcement and penalties
- 19.39 Interpretation by Attorney General

Wis. Admin. Code ch. Adm 12 ***Electronic Records Management – Standards and Requirements***

Format for Writing Citations

The following Wisconsin statute and administrative code citation formats follow those as outlined in the State of Wisconsin Blue Book and are requested for use when working with the Public Records Board.

At the beginning of sentence:

Wisconsin Stat. § 19.35

Wisconsin Stat. ch. 19

or (for readability)

Section 19.35 of the Wisconsin Statutes

Chapter 19 of the Wisconsin Statutes

Within a sentence:

Wis. Stat. § 19.35

Wis. Stat. ch. 19

At end of a sentence, as a freestanding citation:

Wis. Stat. § 19.35

Wis. Stat. ch. 19

If the edition of the statutes is material, include parenthetically:

Wis. Stat. § 19.35 (2011-12)

Plural (showing double section signs), incorporate into various forms above:

Wis. Stat. §§ 19.35-19.37

Wisconsin Administrative Code:

Wis. Admin. Code ch. Adm 12

Federal Regulations

In addition, the Public Records Board requests specific formatting when using federal citations. Some examples follow:

Single: 45 C.F.R. § 164.502(a) or 45 C.F.R. pt. 160

Plural: 45 C.F.R. § 164.502(a) and 164.508 or 45 C.F.R. pts 160 and 164

Records Retention Disposition Authorization (RDA) Decision Tree

RDAs are valid for 10 years. The following process can be used to determine your next steps for RDAs that are coming upon their sunset date. If a RDA has already sunset or, you need more time beyond the expiration date to review it, use the Extension Request Form on the Public Records Board (PRB) website to file for an extension. *Records may not be destroyed without a valid, active RDA.*

1) Does the work/business area still create or receive the records associated with this RDA?	
If Yes,	Ask question 2
If No,	Confirm with the business area if the records are: a) no longer being created or received at all, for example, legislation ended the program. Or, b) records are still being created or received but, for example, in another business area due to a reorganization. Use DOA-3806, the RDA Change Request form to: a) Close the RDA. Previously existing records will continue to be governed by the closed RDA. b) Move the RDA to another business area, accounting string, etc. <u>Note</u>: The records officer submits these requests to the PRB support staff at the State Records Center (SRC). PRB approval authority is delegated to the PRB executive secretary.
2) Could these records be retained by a RDA in a general records schedule?	
If Yes,	Use DOA-3806, the RDA Change Request Form, to supersede the agency RDA with the RDA in the general records schedule. <u>Note</u>: The records officer submits these requests to the PRB support staff at the SRC. PRB approval authority is delegated to the PRB executive secretary.
If No,	Ask question 3
3) Could these records be retained by another, already existing agency RDA?	
If Yes,	Use DOA 3806, the RDA Change Request Form, to supersede the RDA. <u>Notes</u>: If superseding, the records officer submits these requests to the PRB support staff at the SRC. PRB approval authority is delegated to the PRB executive secretary. When combining or consolidating agency-specific RDAs, agencies may need to amend sections of the existing RDA to clearly describe the records in question. If amending, the records officer sends these requests to the PRB support staff at the SRC for submission through to the PRB at its next meeting. Full PRB approval is required.
If No,	Perform a comprehensive review of the RDA to assure it still accurately reflects the records for which it represents and if necessary, prepare an amended or renewal RDA for approval by the PRB. <u>Note</u>: When amendments and renewals are necessary, the records officer sends these requests to the PRB support staff at the SRC for submission through to the PRB at its next meeting. Full PRB approval is required.
4) When working with the business area, were other records identified not yet governed by a RDA?	
If Yes,	Assess the records to determine if they can be maintained under a general records schedule or other agency-specific RDA. If they cannot, a new RDA needs to be written and submitted to the PRB for review and approval. All agencies are required to create a new RDA within one year of the creation of new records and prior to any disposition. <u>Notes</u>: The records officer sends new RDAs requests to the PRB support staff at the SRC for submission through to the PRB at its next meeting. Full PRB approval is required.
If No,	Remind the business operating unit to tell you if that changes.

Records Retention Schedule Review Checklist

This checklist is a tool for Public Records Board (PRB) support staff to reference while preparing review packets for the Records Management Committee (RMC).

- The RMC has the authority to review any aspect of the schedule or series.
- State agency records officers may use this tool during Records Retention Disposition Authorization (RDA) preparation.

For all Submissions:

1. Are **all** fields completed?
2. Would the record series fall under a current General Records Schedule (GRS)?
3. Could the RDAs be combined into one RDA showing all formats maintained for the same retention time and disposition?
4. Could the agency consider incorporating record series medium changes into the description or create a separate, related RDA (with suffix)?
5. Are acronyms and/or abbreviations defined clearly when first noted?
6. Does the title accurately reflect the records described?
7. Does 'medium for storage' noted concur with the description?
8. Is a justification provided for permanent retention or other long term retention (50 yrs+)?
9. Is the 'event' clear and easily measured?
10. Is the description clear and concise?
11. Does the description contain: ➢ Non-records?
➢ Grammar or spelling errors?
12. Are all legal citations in the correct format?
13. If Personally Identifiable Information (PII) or Confidential is 'yes' and the records should be destroyed, is '**destroy confidential**' checked?
14. If Confidential is 'yes', is statute or legal authority included?

Note: RDAs must be submitted to PRB support staff at the State Records Center by the "Deadline for RDA Submittals" noted on the PRB calendar for each quarterly review cycle. This allows sufficient time to compile the submissions from all state agencies and local units of government for the PRB's review. The PRB Calendar can be found on the PRB website, Document Library, Reference Materials section.

Public Records Board (PRB) and State Records Center (SRC) Forms

Number	Title	Location	Use
PRB-001 PRB-003	Records Retention/ Disposition Authorization	PRB website	Submission of RDAs for the PRB which are: 1) new 2) amended 3) renewed
PRB-002	Notification of General Records Schedule Adoption	PRB website	Opt into (adopt) or opt out of general records schedules.
DOA-3803	Inventory Change Request	SRC website	1) Request changes to a box or indexed file. This form is for moving a few specific boxes only. Note: Fields that agencies may update include description, content, date range and event date. 2) Business/work/program unit move. Note: If moving RDA to a new area within the agency when the inventory should follow, use DOA-3806.
DOA-3804	Inventory Delete Request	SRC website	1) Request removal of duplicate inventory labels created in error. 2) Request removal of inventory from the database. Note: This form is for removal of a few boxes or indexed files only. Inventory removal should be done during the semi-annual disposition cycle.
DOA-3805	Non-Indexed File Order	SRC website	Place orders for retrieval of non-indexed files. Note: The vast majority of files housed at the SRC are non-indexed or non-barcoded.
DOA-3806	RDA Change Request	SRC website	1) RDA division moves 2) RDA closures 3) RDA supersedes Note: Any other changes should be submitted using PRB-001.
DOA-3807	SRC User Authorization	SRC website	1) Request a new user setup. 2) Remove an existing user. 3) Change existing user access.
DOA-3808	Inventory Pick-up Request	SRC website	1) New inventory to send to the SRC. 2) Returning inventory to the SRC. 3) Boxes to be confidentially destroyed.

Sample of Completed PRB-001 (RDA Form) – Amendment

STATE OF WISCONSIN
DEPARTMENT OF ADMINISTRATION
PUBLIC RECORDS BOARD
PRB-001 (R09/2016)
PAGE 1 OF 3

http://publicrecordsboard.wi.gov

Records Retention / Disposition Authorization

- **Read instructions provided on pages 2-3 before completing.**
- In accordance with Wis. Stat. § 16.61, 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.
- Agency Records Officer: Forward original to the PRB. Maintain an agency copy during the PRB review process.

1. RDA # 364

2. **Record Series Title** Comprehensive Planning General Files

3. RDA Status (Check One): ☐ New ☒ Amended ☐ Renewal

4. Agency #: 505 **5. Unit #:** 900

6. Agency Name Administration

Division Name Intergovernmental relations

Subdivision Name Comprehensive Planning Program

7. Record Series Year of Creation 1995

8. Medium for Records Storage (Check all appropriate) ☒ Electronic/Digital ☐ Microform ☒ Paper ☐ Other (Specify)

9. Retention Time Period - Specify Actual Period

Yrs	Mo	Wks	Days	Permanent*
3				☐

10. Event that Initiates the Start of the Retention Time Period (Check One)

Creation ☒ **(CR)** Fiscal ☐ **(FIS)** Other (Specify) ☐

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

11. Disposition (Check One): ☐ Destroy ☐ Destroy Confidential ☒ Transfer - State Archives (WHS) ☐ Transfer - UW Archives ☐ Transfer - Other Location (Specify):

12. Records Series Description

This RDA covers reports, such as land use issue reports, and other documents leading to the development of the Comprehensive Planning Law (Wis. Stat. § 66.1001), development materials and correspondence, comprehensive planning elements guides and other sorts of guides, Frequently Asked Questions sheets, program memoranda and outreach materials created for Wisconsin local comprehensive planning as well as other non-grant/grant cycle-specific information.

Box 16: Wis. Stat. § 16.61

(Amendment to change the Disposition to Transfer – State Archives(WHS))

13. Records Contain Personally Identifiable Information (PII): ☐ Yes ☒ No

14. PII Registry Exemptions (*Check YES if PII is exempted*): ☐ Yes ☐ No

15. Name of Agency ☒ **Program Contact or** ☐ **Records Officer:** Jane Doe

Telephone: 608-299-2996 **Email** jane.doe@wi.gov

16. Records Series Contains Content that is Confidential or Access is Protected: ☒ **Yes** ☐ **No**

If yes, enter Statute/Code/ or explain other Legal Authority in Box 12, Record Series Description.

17. APPROVAL SIGNATURES

Agency Official Date (mm/dd/ccyy) Agency Records Officer Date (mm/dd/ccyy)

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)

Approval subject to 10-year sunset per Wis. Stat. § 16.61(4)(c). Action required before: ______

This document can be made available in alternate formats to individuals with disabilities upon request.

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 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.

2. ***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.

3. ***RDA Status:*** Check only one box:
   - NEW: Request for approval of an RDA with a number that has never been submitted to the PRB. In # 12, 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.

4. ***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.

5. ***Unit #:*** Use the following:
   - 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.

6. ***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.

7. **Records Series Year of Creation:** 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.

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.

10. ***Event:*** Use this field to indicate the specific event that must occur in order to initiate the retention time period. Identify this event by checking one of the boxes listed**:**
    - 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 (Specify): If a specific event other than "CR" or "FIS" initiates the retention time period, mark the checkbox "Other (Specify)". You must also state the event. You may provide a detailed description of the event within the Records Series Description in #10 if more space is needed.

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

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.
    - May 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.
    - 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).

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 this 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. If YES, complete #12. If NO, do not complete #14.

INSTRUCTIONS: Records Retention/Disposition Authorization continued

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 #14.

Note: When # 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 in #12.
- 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.

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:
a. Statewide General Records Schedules
b. Wis. Admin. Code ch. Admin 12
c. Records Management Fact Sheets

Sample of Semi-Annual Records Disposition Cycle Packet

CORRESPONDENCE **State of Wisconsin**

Department of Administration
Records Management and Transportation Section

DATE: November 13, 2015

TO: Records Officers ***S A M P L E***

FROM: Steven Georgeff, Inventory Control Supervisor
Wisconsin State Records Center
4622 University Avenue, 10A
Madison, Wisconsin 53705

SUBJECT: State Records Center Notice of Destruction/Transfer
Eligible Records From July 2, 2015 Through December 31, 2015

The calendar year 2016 Annual Records Disposition Reports are now being distributed to agencies with inventory stored at the State Records Center. Agency responses are due December 18, 2015. The State Records Center (SRC) processes to reconcile and closeout the responses received from agencies will add another 2-4 weeks after the agency cutoff date. Due to the length of time associated with all of these processes, the level of detail involved, and the "freeze" the SRC has to place on inventory during this period, late submittals will not be accepted. *Note: The SRC cannot make inventory changes for any agency until the reconciliation of this destruction/transfer cycle is closed.*

GETTING STARTED:
Attached please find your agency's calendar year 2016 Annual Disposition Report(s). Agencies may receive up to three (3) separate reports.

- One is the ***Destruction Eligibility Report***, for records in your inventory that are now eligible to be destroyed.
- The second is the ***Transfer Eligibility Report***, for records that have reached the end of their retention period and, based on the approved Records Disposition Authorization (RDA), are now eligible for transfer to either the Wisconsin Historical Society or UW-Madison Archives.
- The third is the ***Transfer Other Report***, for records eligible for transfer to a third party per the approved RDA.

If you only received one report your agency did not have any inventory that qualified for the other dispositions.

Here is a brief review of the key fields on the report:

1. SRC Box #: This is the unique number assigned to each box by the SRC Versatile system to track your inventory.

2. User Box #: This is the box number assigned by your agency. This is used as a control number within your agency.

3. Record Series: This is the RDA # of the records policy controlling the records.

4. Retention: This is the retention time period per the RDA. The SRC Versatile system automatically calculates the retention period for your records based on approved RDA's. Retention is based on one of three items: a. Event (EVT), b. Creation (CR) or c. Fiscal years (FIS).

5. Disposition: This indicates whether the records are to be Destroyed or Transferred to the UW-Madison, State Archives at the Wisconsin Historical Society, or third party archival repository.

6. Disposition Date: Calculated by Versatile, this is the date the box or file is eligible for destruction or transfer.

Please read the following instructions in their entirety before beginning the destruction/transfer processes within your agency.

SPECIAL NOTES:

Records *Must* Be Held If Any One of the Following Four (4) Reasons Exists:

1) An open records request under Wis. Stat. 19.35 (5); 2) Pursuant to Wis. Stat. 16.61(4)(c), the RDA governing the retention of the records is inactive or under development; 3) and 4) Litigation or audit has commenced or is anticipated pursuant to the authorization provided on PRB-001.

If you must delay destruction or transfer of any records, identify those records by the SRC-Box Number on the attached Disposition Reply document(s) and include the appropriate justification.

Note: "Holds" placed on records eligible for destruction or transfer are only authorized based on the four reasons stated above and with justification. Agencies simply preferring to hold records is not an acceptable justification. Agencies preferring to hold records longer than the retention period stated on the RDA, must re-write the RDA and submit it to the Public Records Board for approval. Please see additional instructions below.

A. Please check the disposition dates for the records on your report(s) to verify their accuracy. Agencies are responsible to ensure the dates are accurate. If you believe any dates are inaccurate, list them as "holds" on the reply form and return it to the SRC. Then file DOA-3803, Inventory Change Request Form, to initiate the correction.

B. Please check the dates of validity for the RDAs associated with records eligible for destruction or transfer on the attached report(s). Records associated with a sunsetted (expired) RDA may not be destroyed or transferred until the RDA has been officially renewed, superseded or closed and approved by the Public Records Board or its designated authority.

C. Do not request changes to retention periods, conditions or disposition codes as part of this semi-annual destruction/transfer process. If updates to RDAs are required, requests for changes must be made separately via DOA-3803, Inventory Change Request Form.

D. Do not request that RDAs be renewed, superseded or closed as part of this semi-annual destruction/transfer process. These requests must be made separately, in writing, to Kathryn Egeland in the State Records Center. You will use either the PRB-001, Records Retention Disposition Authorization or DOA-3806, RDA Change Request as appropriate.

NEXT STEPS:

- The SRC requires an agency Records Officer's approval to destroy or transfer records. Therefore, please distribute your agency's attached report(s) to either the records coordinators directly responsible for each identified series of records or to designated business unit. This important step in the process is to ensure the accuracy of the data, the validity of the associated RDAs and to identify any other reasons that may prevent the destruction/transfer of these records.

- If you, your records coordinators or business units need to review any of the records on this report(s) prior to disposition, delivery of these records to your agency must be requested prior to December 1, 2015. You may also contact the SRC to arrange for a visit prior to December 7, 2015 to review the records in person.

- Compile the responses from the records coordinators or business units and complete the Disposition Reply document.

    1. If some or all records are to be held, please indicate such on the Disposition Reply form and provide justification(s).
    2. If some or all records may be destroyed/transferred, please indicate such on the Disposition Reply form.

- *Please return the Disposition Reply document(s) for the entire department <u>at one time</u>. Do not send partial lists or duplicate information to the SRC.*

To avoid being billed for storage in January 2016, please return the Disposition Reply for your agency as soon as possible but no later than December 18, 2015. Agency billings will reflect the adjusted inventory charges if received on or before this date. If the Disposition Reply is not received from you by the cutoff date, the records will remain in storage and current billings will apply. Agencies must then wait until the next semi-annual destruction/transfer cycle to process-out their records which have expired.

Note: Records will not actually be destroyed by the SRC until it reconciles and closes out this semi-annual destruction cycle and until staff from the Wisconsin Historical Society and the UW-Madison Archives have completed their verifications of records to be transferred. These usually takes 2-4 weeks after the agency cutoff date of December 18, 2015. If records in this cycle become needed by your agency after the cutoff date and they are still physically available at the State Records Center, we will pull them and return them to you. Please call me in this situation to check on the status of your records.

If you have questions, please contact me at steven.georgeff@wi.gov or, (608) 264-9506.

Thank you.

cc:
Helmut Knies, Wisconsin State Historical Society Archives

Attachments:
Destruction and/or Transfer Report(s)
Disposition Reply
Sample Email Message to Records Coordinators

Sample Email Message to Records Coordinators or Similar Within Your Agency
Instructions for Processing the
Semi-Annual Destruction/Transfer Cycle

S A M P L E

Records Coordinators,

Our semi-annual records destruction and transfer cycle is here again. Would you please review the attached spreadsheet(s) to determine if your area has any inventory listed for destruction and/or transfer? *If* there *is* inventory listed for your area please:

- <u>Review the accuracy of each disposition date for each item to ensure records will not be destroyed or transferred prior to their actual due date</u>.
- <u>Confirm with your division leadership that these boxes are not needed for an audit, litigation or open records request</u>.

"Holds": If you *<u>do</u>* have boxes that *<u>must be held</u>,* please indicate such on the spreadsheet(s) by completing the Destruction "Hold" and/or Transfer "Hold" forms(s) as appropriate. Then indicate which specific boxes are to be held and for which reason(s).

As a reminder, there are only four (4) reasons records may be held beyond their destruction/ transfer date. They are:

1. Litigation has commenced or is anticipated;
2. Audit has commenced or is anticipated;
3. Open Records Request under § Wis. Stat. 19.35, and/or;
4. A Records Retention Disposition Authority (RDA) is sunset (expired) or otherwise under development.

Once finished, please complete the authorized name, signature and date section and return the spreadsheet(s) to me by ________________. I will then compile all spreadsheets for our agency and submit them to the State Records Center.

Please contact me with any questions.

Thank you.

State Records Center: ***Semi-Annual Notice of Destruction***

Eligible Records from 7/2/2015 through 12/31/2015

Name of Your Department/Agency

EXPLANATION OF DATA AND SAMPLE

Department ID	Department	SRC #	User Box #	Record Series	Description	From	To	Event	Disposition Date	Retention	Disposition
Description of Columns											
The agency's sub-unit number for the business area	*The name of the sub-unit within the business unit or agency*	*The box # assigned by the Records Center*	*The box # assigned by the agency*	*The applicable RDA # assigned by the agency to his box of records*	*A brief description of the box contents as provided by the agency*	*Date of the oldest item in the box as provided by the agency*	*Date of the most recent item in the box as provided by the agency*	*Date that initiates the retention period per the RDA assigned by the agency to these records*	*Date the records are eligible for either destruction or transfer as auto-calculated by Versatile*	*The required length of retention per the RDA assigned to these records by the agency*	*Records with D will be destroyed by the State Records Center*
Sample Data in Report											
/100/	Accounts Payable	123789	4	90000021	Office supply payables	1/1/2007	10/24/2007	10/24/2007	10/24/2013	FIS+6	D

State Records Center: ***Semi-Annual Notice of Transfer***

Eligible Records from 7/2/2015 through 12/31/2015

Name of Your Department/Agenc

EXPLANATION AND SAMPLE

Department ID	Department	SRC #	User Box #	Record Series	Description	From	To	Event	Disposition Date	Retention	Disposition
Description of Columns											
The agency's sub-unit number for the business area	*The name of the sub-unit within the business unit or agency*	*The box # assigned by the Records Center*	*The box # assigned by the agency*	*The applicable RDA # assigned by the agency to his box of records*	*A brief description of the box contents as provided by the agency*	*Date of the oldest item in the box as provided by the agency*	*Date of the most recent item in the box as provided by the agency*	*Date that initiates the retention period per the RDA assigned by the agency to these records*	*Date the records are eligible for either destruction or transfer as auto-calculated by Versatile*	*The required length of retention per the RDA assigned to these records by the agency*	*Records with H will be transferred to the Wisconsin Historical Society per the RDA assigned by the agency*
Sample Data in Report											
/300/	Budget	789123	2233	BUDG0004.	Budget Development (B-2 File Maintenance) and (Miscellaneous)	5/1/2006	5/31/2008	5/31/2009	7/1/2014	FIS+6	H

DISPOSITION REPLY FORM - ALL RECORDS MAY BE TRANSFERRED AND/OR DESTROYED (There are no "Holds")

State Records Center Annual Destruction/Transfer Cycle

For the Period: July 2, 2015 thru December 31, 2015

S AMPLE

Agency/Department Name: ***Department of Administration***

Agency/Department Number: ***505***

Batch #: ***Example: 6621/6622/6623 - Provided by the State Records Center***

Instructions: If all records on your agency's Destruction and/or Transfer Report may be destroyed or sent to the Wisconsin Historical Society, UW-Madison archival repositories or a third party as applicable per the Records Series/RDA, please sign and date below:

☐ Yes, **all** records per the attached *Destruction Report received from the State Records Center* are eligible for destruction. *(Note: If all records* ***may not be destroyed****, please complete the attached "Destruction Hold" Disposition Reply Form instead.)*

____

Authorized by the Above Signature / Date

☐ Yes, **all** records per the attached *Transfer Report* received from the State Record Center are elibible for transfer. *(Note: if all records* ***may not be be transferred****, please completed the attached "Transfer Hold" Disposition Reply Form.*

____

Authorized by the Above Signature / Date

DISPOSITION REPLY FORM - THE FOLLOWING RECORDS MUST BE HELD FROM *TRANSFER*

S A M P L E

State Records Center Annual Destruction/Transfer Cycle

For the Period: July 2, 2015 thru December 31, 2015

TRANSFER "HOLDS"

Agency/Department Name: ***Department of Administration***

Agency/Department Number: ***505***

Batch #: ***Example: 6625 - Provided by the State Records Center***

Instructions: If some or all records on your agency's Transfer Report(s) must be "Held",

1. Copy and paste those lines of records from your Transfer Report(s) into the space provided below. Note: Use as many rows as necessary but do not change the columns, format or font.

2. Add a line of justification under each box/file or grouping of boxes/files to be held.

3. Provide an authorized signature and a date.

4. Email the Disposition Reply to steven.georgeff@wi.gov by the due date.

5. Send the original via Interdepartmental Mail to Steven Georgeff at the State Records Center, 4622 University Avenue, 10A.

List all Destruction "Holds" here as noted in #1 above.

SRC Box#	User Box #	Record Series		Description		From	To	Event	Retention	Disposition

Justification to hold the above boxes/files:

____

Authorized by the Above Signature / Date

DISPOSITION REPLY FORM - THE FOLLOWING RECORDS MUST BE HELD FROM *DESTRUCTION*

S A M P L E

State Records Center Annual Destruction/Transfer Cycle

For the Period: July 2, 2015 thru December 31, 2015

DESTRUCTION "HOLDS"

Agency/Department Name: ***Department of Administration***

Agency/Department Number: ***505***

Batch #: ***Example: 6626 - Provided by the State Records Center***

Instructions: If some or all records on your agency's Destruction Report must be "Held",

1. Copy and paste those lines of records from your Destruction Report into the space provided below. Note: Use as many rows as necessary but do not change the columns, format or font.

2. Add a line of justification under each box/file or grouping of boxes/files to be held.

3. Provide an authorized signature and a date.

4. Email the Disposition Reply to steven.georgeff@wi.gov by the due date.

5. Send the original via Interdepartmental Mail to Steven Georgeff at the State Records Center, 4622 University Avenue, 10A.

List all Destruction "Holds" here as noted in #1 above.

SRC Box#	User Box #	Record Series		Description		From	To	Event	Retention	Disposition

Justification to hold the above boxes/files:

Authorized by the Above Signature / Date

Additional Resources:

Public Records Board website URL: http://publicrecordsboard.wi.gov/

Training and Reference Materials:

The following informational fact sheets may be found on the Public Records Board Website, Document Library under the Training Materials heading:

- Introduction to Records Management – Employees
- Introduction to Records Management – PRB Members
- Introduction to Records Management – Senior Managers
- Introduction to Records Management – Supervisors and Managers

The above single page documents provide employees an easy access to records management information. These handouts are designed to complement the PowerPoint presentations below.

The following PowerPoint presentations may be found on the Public Records Board Website, Document Library under the Training Materials heading:

- Introduction to Records Management Presentation – Employees
- Introduction to Records Management Presentation – PRB Members
- Introduction to Records Management Presentation – Supervisors and Managers

The PowerPoint presentations above offer agency audiences an overview of basic records management. The presentations have locked and unlocked sections to maintain consistent training throughout the state while still allowing records officers to customize some areas for more specific training based on the individual agency's processes.

State Records Center (SRC) website URL: http://www.doa.state.wi.us/divisions/enterprise-operations/bureau-of-enterprise-fleet/state-records-center

Customer Service Desk: 608-266-2995, doadeorecordscenter@wisconsin.gov

- Retrieving existing inventory
- Submitting new inventory requests
- Confidential destruction of records
- Scheduling pick up of records
- Billing questions
- SRC User maintenance

Records Center Supervisor: 608-264-9506

- Semi-Annual Disposition Process
- Inventory maintenance
- SRC tours
- SRC fee schedule

Program and Policy Analyst: 608-266-2996

- Records Disposition Authorizations (RDAs)
- Local units of government
- Public Records Board
- Versatile training
- SRC and PRB websites

Records Management Section Chief: 608-266-2770

- Records management training
- Records management consultations

Wisconsin Historical Society website URL: http://www.wisconsinhistory.org/

- Long-term records preservation
- What is, or is not, a historical record
- Local units of government

UW Archives website URL: http://archives.library.wisc.edu/

- Long-term UW records preservation
- What is, or is not, a historical record

Agency Legal Counsel

- Statute of limitations
- Other legal requirements