**Records Life Cycle**

*Records Management:* Administrative, legal, fiscal needs; centers on compliance and retention rules

*University Archives:* Historical records, a small portion of which come to Archives after retention limit has passed

Creation (office of origin) → Use (active phase) → Storage (inactive) → Retention → Destruction

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Archives

After records are created, they enter into a period of frequent use -- the active phase of records. Active records must be filed so that they are accessible. They are usually kept in the office of origin for ease of retrieval and consultation. After the active phase has ended, records may need to be retained because of legal or financial requirements or because they serve institutional or administrative memory. During the inactive phase, records may be stored outside of the office of origin, perhaps using a vendor who provides document storage and shredding services. (Note: University Archives does not store, collect, or otherwise house active or inactive records). Eventually, records are no longer needed even occasionally by the offices that created them. At this point, records should either be destroyed or University Archives should be consulted for possible transfer to the collection if it is judged to be of long-term historical value.
Institutional Records Collection Policy

The primary mission of the University Archives is to preserve the history of the University at Buffalo. As such, University Archives welcomes donations of materials that document the history and evolution of the University from administrators, faculty, staff, students, alumni, and the general public. Materials of particular interest include records of student organizations and social clubs (including founding documents, minutes, reports, publications, and photographs), records of academic programs and schools, university publications (programs, flyers, newsletters), faculty and staff biographical records, and documentation of life at UB (scrapbooks, diaries, letters, and photographs) and other records offering substantive evidence of the history and policies of the University and its predecessor institutions.

In compliance with Society of American Archivists guidelines, most repositories are not able to promise that donated material will be used in some specific manner as a condition of accepting the gift. University Archives reserves the right to, but cannot guarantee, specific exhibit or research use of any collection of materials. University archivists will assess the long-term historical value potential of all items transferred to the Archives. Staff will process and catalog the records and make the items available for research. Acceptance of material to the University Archives does not commit the Archives to retain material in perpetuity, with the exception of material covered by University and New York State retention rules, laws, and regulation.

University Archives is interested in receiving the types of records listed below. Not all departments or offices will hold the full range of records.

Schools, Departments, Offices, and Organizations/Clubs

What we collect:

- Administrative and departmental memoranda, reports, and correspondence.
- Minutes of administrative, faculty, task force, and committee meetings.
- Administrative and departmental special studies, planning documents, master plans, self-studies, and departmental annual reports.
- Faculty annual reports.
- Grant applications and reports.
- Departmental histories.
- Subject files (memoranda, documents, clippings) maintained in administrative or academic offices.
- Records of university special events and anniversaries.
- Records of student clubs and organizations, alumni associations.
- Biographical data about faculty, staff, and benefactors.
- Printed material including course offerings and degree requirements (catalogs), newsletters, programs, invitations, posters, and brochures.
- Photographs of faculty, students, buildings, activities, and events (identified if possible).
- Audio and video recordings of events.
- Artifacts and memorabilia.

What we don’t collect:

- Personnel records (including but not limited to tenure and promotion, grievances, etc.)
- Student academic records.
- Records for temporary housing.
- Any active records.

Faculty
What we collect

- Bibliographies or publication lists.
- Biographical material about the faculty member including curriculum vitae, photographs, interviews, bibliographies.
- Correspondence with colleagues, students, and scholars and researchers at other institutions.
- Consulting files.
- Departmental and committee records created in an individual’s capacity as a university administrator, department chair, committee chair or member.
- Diaries and journals, personal and professional.
- Family papers, particularly if family members have shared in research efforts.
- Grant and research files, lab notebooks, project records.
- Photographs taken by or of the faculty member, documenting research colleagues and staff, laboratories, equipment, family and friends.
- Professional contributions. Materials documenting involvement in professional or research organizations.
- Manuscripts or drafts of articles and books, including unpublished works.
- Offprints of authored articles.
- Other publications (if not otherwise available through libraries).
- Talks and lectures.
- Teaching materials including lecture notes, course syllabi (depending on quantity), and class rosters.
- Records relating to service outside the university.

What we don’t collect

- Reprint or book collections, unless items are of unusual significance (e.g. annotated by a major scholar in the field)
- Personal financial records, cancelled checks, tax returns.
- Student academic information including grades.
- Personnel records (including but not limited to tenure and promotion, grievances, etc.)
Manuscript Collection Policy

The University Archives also collects non-literary manuscript collections. Major collecting areas include design and architecture, environmental issues and organizations, women’s history, education, and social activism.

In compliance with Society of American Archivists guidelines, most repositories are not able to promise that donated material will be used in some specific manner as a condition of accepting the gift. University Archives reserves the right to, but cannot guarantee, specific exhibit or research use of any collection of materials. University archivists will assess the long-term historical value potential of all items transferred to the Archives. Staff will process and catalog the records and make the items available for research. Acceptance of material to the University Archives does not commit the Archives to retain material in perpetuity.

What we collect
- Correspondence.
- Biographical material.
- Diaries and journals, personal and professional.
- Photographs (identified and dated).
- Printed material including newsletters, programs, invitations, posters, and brochures.
- Scrapbooks.

What we don’t collect
- Reprint or book collections, unless items are of unusual significance (e.g. annotated by a major scholar in the field)
- Personal or organizational financial records, cancelled checks, tax returns.
**Book Collection Policy**

University Archives maintains a limited, historical book collection; additions to the book collection are selective and mainly restricted to books pertaining to the history of the University at Buffalo. To maximize patron discovery and use, it is preferred that books are accessioned into the main UB Libraries book collection (at the discretion of the subject specialist librarian). All additions to the book collection are at the discretion of the University Archivist.

University Archives Book Collection contains

- Books pertaining to the history of the University at Buffalo and its predecessor the private University of Buffalo. This includes books about the University’s constituent schools, departments, offices and programs, as well as books about events in University history. The book collection also includes books about and by past Chancellors and Presidents of the University.
- Books pertaining to the history of Buffalo and Western New York. This collection does not actively add accruals.
- Reference books related to our seminal collections: the Darwin D. Martin/Frank Lloyd collections and the Love Canal collections.
- Reference books related to the archival field.

What we don’t collect

- Reprint or book collections of faculty, unless items are of unusual significance (e.g. annotated by a major scholar in the field).
- Titles available through the University at Buffalo Libraries.
- Titles available at local and regional public, academic, and/or museum libraries.
Deaccession and Reappraisal Policy

Deaccession and reappraisal of materials held by the University Archives is at the discretion of the University Archivist. This is always done in accordance with any existing deed of gift or if possible in consultation with the donor. In deaccession and reappraisal of collection material, University Archives upholds guidelines set forth by the Society of American Archivists, including, but not limited to:

- To improve overall access to materials
- To make split collections whole
- To assess and prioritize backlogs
- To correct faulty appraisal at the time of acquisition
- To comply with the law (e.g. replevin)
- To comply with current institutional collecting policies and retention schedules
- To assess collecting strengths and refine collecting focus
- To implement a change in the repository’s mission
- To better balance research potential of collections with the necessary allocation of resources (space, staff, time, and conservation resources) for their care and preservation
Digitization Policy
As time and resources permit, University Archives digitizes material in its collection with respect to the following:

- Preference to material in which UA owns the copyright.
- Reformatting of material to provide access.
- Reformatting of material for preservation, including but not limited to obsolescence, reduction of handling of original, etc.
- If condition of the original can withstand digitization.
- Materials demonstrate a significant added value to collections by reformatting.
- Provide University access.
- Provide universal access where possible with compliance to copyright, intellectual property law, and University policies.

User Driven Digitization

- Compliance with copyright, intellectual property law, limitations and use as outlined in associated deeds of gift.
- Fees may apply.
- Lead time for digitization is a minimum of 3 business days with allowance for additional time (for example, depending on the number of items requested, condition of original material, current department resources, etc.).
- Original format must be able to withstand digitization without undue harm to original.
- Digitization of items requiring an outside vendor (because of but not limited to, fragility, unsupported reformat type, etc.) are considered on a case by case basis.
Exhibition Policy
Exhibitions in University Archives are designed to enlighten students, faculty, staff, and the community; foster debate and discussion on a wide range of issues; and promote an awareness of library collections, services and events.

Exhibitions support and enhance University Library’s mission to “provide outstanding resources, experts, services and spaces to enrich the research, learning, teaching and creative activities of UB faculty, students and staff as well as those of the local and global community members we serve.”
**Access Policy**

Special Collections is open to members of the UB community, visiting scholars and the general public. All materials are housed in environmentally controlled and secure stack areas on and off site, and are made available for use in the Special Collections Reading Room. Special Collections complies with University Libraries policy regarding off site access of digital materials (i.e. Digital materials under copyright are available online to users holding University virtual authentication); these collections/items are noted by “UB ONLY.”

All collections are non-circulating and are retrieved for researchers upon request. Some materials are located off site. Requests to view unprocessed or off-site materials require advanced notice of at least 10 working days prior to the research visit. Permission to use unprocessed materials requires the approval of the University Archivist.

**Privacy and Personally Identifiable Information**

Manuscript collections that include twentieth and twenty-first century archival materials may contain sensitive or confidential information that is protected under federal or state "right to privacy" laws, including but not limited to certain educational, medical, financial, criminal, attorney-client, and personnel records. Researchers are advised that the disclosure of certain information pertaining to identifiable living individuals without the consent of those individuals may have legal cause for action if facts concerning an individual's private life are published that would be deemed highly offensive to a reasonable person.

Staff has taken care to identify and, in some cases, remove Personally Identifiable Information found within its archival collections when undertaking archival processing work. However, privacy protected information may be revealed during use of the archival collections, particularly in those collections that are unprocessed or have been minimally processed.

Researchers agree to make no notes or other recordation of privacy protected information if found within the archival collections, and further agree not to publish, publicize, or disclose such information to any other party for any purpose if found within the archival collections.

Researchers agree to indemnify and hold harmless the University at Buffalo and its officers, employees, and agents from and against all suits, claims, actions, and expenses arising out of use of archival collections held by the University at Buffalo.
Restricted Records Policy

University records are public records and once fully processed are generally open to research use. Records that contain personally identifiable information will be restricted in order to protect individual privacy.* Certain administrative records are restricted in accordance with university policy as outlined below. The restriction of university records is subject to compliance with applicable laws, including the Freedom of Information Act (FOIA) and Freedom of Information Law (FOIL).

Subpoenas:

Direct subpoenas of University Archives records to the UB Associate Counsel office who will advise the Archives staff on what records or information to release.

Current: James Jarvis, 645-4468, jljarvis@buffalo.edu, 542 Capen Hall

FOIL/FOIA Requests:

Direct requests to the UB Records Access Officer

Current: Brian T. Hines, 645-5464, ubfoil@buffalo.edu, 120 Crofts Hall

Website: http://www.buffalo.edu/administrative-services/records-management/foil.html

Identifiable Student Records:

75 years from date of creation

Open if identifiable information (name, SS, address, email, etc.) redacted

Personnel Records (including but not limited to tenure and promotion; grievances; etc.)

75 years from date of creation

Patient Evaluations and Medical Records

50 years after date of death. If DOD unknown, 100 years from date of creation

Legal cases

75 years from closure of case

During embargo, case and client files may be accessed only if the client or the client’s legal representatives consent to disclosure

Office of the President, Provost, Directors, Deans

20 years from date of accession into University Archives
During embargo, files may be accessed only if the Office of Origination consents to disclosure

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