

**UNIVERSITY OF WISCONSIN SYSTEM
LIBRARY, ARCHIVES AND MUSEUM
GENERAL RECORDS SCHEDULE**

April 2008
UPDATED MARCH 2018



Records Retention / Disposition Authorization - Functional

Library, Archives and Museum General Records Schedule UW System 285

Program Description:

University Of Wisconsin System: General Records and Disposition Schedules

Introduction and Purpose:

This retention schedule represents the official University of Wisconsin System policy with regard to the retention and disposition of all university and public records and information and has the approval of the Wisconsin Public Records Board (PRB). The PRB is the statutory body with the responsibility to safeguard the financial, legal, administrative, and historical interests of the State in the disposition of records through the review of records schedules prepared by State agencies.

This retention schedule also provides guidance to University of Wisconsin System employees regarding what does and does not comprise a public record. The UW-System Campuses must manage all records to ensure systematic control from creation or receipt through processing, distribution, maintenance, retrieval, retention and final disposal for records retention purposes.

Scope:

The University of Wisconsin System comprises fifteen distinct institutions, this schedule pertains to the records and information arising from currently understood UW-System record policies and procedures. It applies to all such records regardless of format or media. While an attempt has been made to describe the records in commonly used terms, there may be instances in which the schedule does not reflect the exact title or name used by a given department. If offices or departments cannot determine by the descriptive information provided on each item whether a given departmental record is covered or not, they should contact their campus University Records Officer. An attempt has been made to include all records commonly required or used within the University campuses. However, as processes change, forms may be modified and new ones created, and documentation requirements may also change. This schedule will be reviewed periodically to insure that it is kept as up-to-date as possible.

Utility and Function of Information Provided within this Document:

Minimum Retention Established and Permanent Retention Procedure.

The records retention schedules included within this document establish minimum retention periods for each type of record. The disposition of each record is assumed to be destruction after its minimum retention period or transfer to the Institutional Archives.

Materials That Are Public Records.

Under Wisconsin law, many materials are public records constituting the transaction of public business on behalf of the University Institution. Under Wis. Stat. §16.61, Public records are defined as "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"

Materials That Are Not Public Records.

Under Wisconsin law, many materials are not public records. Non-records should be retained only so long as they are useful as a resource for performing the transaction of public business on behalf of the University. Thereafter, in the interest of efficiency and proper resource management, they should be destroyed.

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Under Wis. Stat. §16.61, the definition of "Record" does not include: duplicate copies of materials the original copies of which are in the custody of the University and which are maintained only for convenience or reference and for no other substantive purpose; materials in the possession of a library or museum made or acquired solely for reference or exhibition purposes; notices or invitations received by the University that were not solicited by the University and that are not related to any official action taken, proposed or considered by the University; 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; and routing slips and envelopes.

Electronic Record Preservation

Historically, University records have been preserved in paper files. Presently, however, advances in digital technology present a viable alternative to paper records. Because of the potential for electronically-preserved information to be lost over time as electronic systems degrade or become obsolete, electronic systems should be used as the primary manner of preserving historical records only if measures are implemented to ensure appropriate updates to the electronic storage systems are consistently purchased, installed, and maintained, and to ensure the appropriate migration of the electronically-stored information as electronic systems become obsolete and are replaced by new technologies. **Please carefully review these documents prior to storing public records upon information systems and if you have questions or concerns, then please seek assistance from the campus University Records Officer.**

Because of the consequences of failing to appropriately maintain electronic information technology systems, records storage within an electronic information system must comply with the legal requirements set forth in [Board of Regents Policy Document 3-2: University of Wisconsin System Public Records Management](#); and [Wisconsin Administrative Rule 12: Electronic Records Management-Standards and Requirements](#).

Suspension of the Records Retention Schedule

Records that have reached their destruction date should nevertheless be retained in the following situations:

1. The records relate to pending or anticipated litigation
2. The records relate to audit or similar review.
3. The records are subject to a public records request under Wis. Stat. §19.35(5).
4. Pursuant to Wis. Stat. § 16.61(4)(c), the RDA governing the retention of the records is inactive or under development.

Using the Schedule

- Use the table to locate the record series item.
- Identify whether you are the holder of the official record.
- Implement the retention and disposition noted at the level of record you hold.
- If you are uncertain about the records series item or your responsibility for it, contact the Records Officer for clarification.

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Laws & Requirements:

Wis. Stat §43.30 (1)(m), (2) Privacy of publically funded library records
Family Educational Rights and Privacy Act

Electronic Systems:

Most collection and patron records described below are housed in an integrated library system (ILS) or its archival or museum equivalent.

Below are examples of some of the electronic systems that are used in UW System. These may change over time.

- **Alma:** Alma is the ILS used by all UW System libraries for the management of collections and circulation transactions. The implementation of Alma brought about the first centralized catalog for all library materials owned by UW System library.
- **ArchivesSpace:** ArchivesSpace is an electronic catalog, discovery layer and workflow management software for archival collections.
- **Aeon:** Aeon is an automated request and workflow management software for use in special collections and archival environments.
- **PastPerfect:** PastPerfect is a collection and contact management system used by museums.
- **CollectionSpace:** CollectionSpace is a collection management system used by art museums.

Official Records & Copies:

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

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Confidentiality of Records:

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

For additional information and assistance implementing this retention schedule, contact: your University Records Officer.

Agency Records Officer authorized by UW Records Officer Council (UWROC) to create this schedule: Joshua Ranger, UW Oshkosh, Records Officer - ranger@uwosh.edu.

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Name of Agency Program Contact or Records Officer:
Joshua Ranger, UW Oshkosh Records Officer, 920-424-0828, ranger@uwosh.edu
Additional Contact name and telephone number/email address

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

PUBLIC RECORDS BOARD APPROVAL: Authorization is contingent on restrictions to record destruction contained in Wis. Stat. § 19.35(5), Open Records Law, and that no records are destroyed if litigation or audit involving these records has commenced or is anticipated.

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

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

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1. Administration									
UWLIB107 Renewal	<u>Library Budget Records</u> Records in this series are used in forecasting of revenue and expenditures for the fiscal year. The files may include planning materials, such as current budget and financial reports, projections of revenue, expenses such as materials, services, marketing, or information technology, fixed costs, or requests by each sub-department for funding.	1971	Paper or Electronic format	No	-	No	-	-	Retention: FIS + 6 years. Disposition: destroy
UWLIB109 Renewal	<u>Library Electronic Equipment Records</u> Records include documentation of the use of hardware and software used by library patrons and staff as well as servers, network and telecommunications equipment. Records include, but are not limited to, software or hardware inventories, software license information, site licenses, manuals, and purchase/repair documentation.	1971	Paper or Electronic format	No	-	No	-	-	Retention: EVENT + 2 years. Event=Date equipment is withdrawn from use. Disposition: destroy

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UWLIB112 Renewal	<u>Donor Files (Library)</u> Records documenting the donation of materials to a circulating library collection. They may include a signed deed of gift, any correspondence pertaining to the donation, a list of the contents of the collection, and donor contact information.	1971	Paper or Electronic format	Yes	No	No	-	-	Retention: EVENT + 10 years. Event= Date item is donated. Disposition: destroy

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3. Special Collections, Museum and Galleries - The term "special collections" here is used to distinguish unique materials from those of the general library collection. Special collections frequently don't circulate outside of controlled spaces and may include archival, rare books, and museum artifacts. Museums and Galleries refer organizations that collect, preserved and display art objects and three dimensional items including but not limited to natural specimens, decorative objects and historical artifacts.									
UWLIB113 Amended	<p><u>Object Collection Management Records</u></p> <p>Records pertaining to the acquisition, history, value, care and movement of 3D and artistic objects/artifacts. Materials include accession records, catalog records, deeds of gifts, research materials, object images, condition reports, appraisals, insurance records, historical information, brochures and clippings.</p> <p>These records include vital information regarding the provenance of University-owned museum objects. Such information is used to document the historical, cultural and intrinsic value of these items. The records also provide evidence of staff decisions concerning materials of historical, cultural and intrinsic value thus documenting institutional accountability.</p> <p>Series will also include information on objects that were once owned by an agency but were deaccessioned. Deaccession records are also kept to preserve provenance information and organizational accountability.</p>	1971	Paper or Electronic format	Yes	No	No	-	-	Retention: PERMANENT As per industry best practice, records are kept permanently to ensure the provenance of materials in or that were once in agency custody is persevered.

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UWL1B114 Renewal	<u>Annual Researcher Registration Records</u> Annual documents created by patrons conducting research in special collections and museums to capture information for security and to acquaint patrons with department rules and regulations. Records may contain patron name, address, phone number, email address, patron type, reason for research, and the signature of the individual as a record of them agreeing to the rules of the reading room. These documents may contain driver license, student, military, Passport or similar identification numbers. Records may be captured on paper forms or through electronic systems.	1971	Paper or Electronic format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	Retention: FIS + 10 years. Disposition: destroy confidential
UWL1B115 Renewal	<u>Daily Researcher Registration Records</u> Records documenting each patron's daily research use of the special collections or museum collections by capturing their name. The records may also include the city of the patron's residence, and the date and times of their use of the facility. Records may be captured on paper forms or through electronic systems.	1971	Paper or Electronic format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	Retention: FIS + 10 years. Disposition: destroy confidential

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UWLIB116 Renewal	<u>Annual Statistical Records and Reports (Special Collections)</u> Statistical record created annually to share with other System partners. Records include, but are not limited to, annual head count, off-site substantive reference requests provided, hours of week opened, or archival interlending.	1971	Paper or Electronic Format	No	-	No	-	-	Retention: FIS + 10 years. Disposition: destroy
UWLIB117 Amended	<u>Circulation Records (Special Collections)</u> Call slips, collections used forms, or similar records that record the materials used by patrons in special collections departments. Records may include the name of the individual, date of use, reason for use and bibliographic information regarding the collection. This series does not include circulation records that are created within the Alma ILS and are scheduled in UWLIB122 and UWLIB147.	1971	Paper or Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	Retention: FIS +10 years. Disposition: destroy confidential
UWLIB118 Amended	<u>Interlending Records (Special Collections)</u> Paper forms and/or electronic records used to process shipments of special collections materials through the Area Research Center network. Paper forms continue to be used for shipping lists and to confirm shipments. Patron information is included in these documents. This series does not include interlending records that are created within the Alma ILS and are scheduled in UWLIB130 and UWLIB147.	1971	Paper or Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	Retention: FIS + 10 years. Disposition: destroy confidential

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UWL119 Renewed	<u>Reference/Research Requests and Responses</u> Records documenting off-site reference and research services by special collections and museum staff. This series includes requests made in writing, emailed, sent via web form or other computer system, or transcribed from telephone calls and the response from the special collections staff.	1971	Paper or Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	Retention: FIS + 1 year. Disposition: destroy confidential
UWL120 Amended	<u>Donor Files</u> Files documenting the individuals or institutions responsible for the donation of materials to special or museum collections. Records may include materials included in object collection management or special collections accession records but may also include less item specific information including signed deeds of gift, correspondence, contact information, and research materials. These records include vital information regarding the provenance of University owned special collections, archival and museum objects. Such information is used to document the historical, cultural and intrinsic value of these items.	1971	Paper or Electronic Format	Yes	No	No	-	-	Retention: PERMANENT As per industry best practice, records are kept permanently to ensure the provenance of materials in or that were once in agency custody is persevered.

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UWL121 Amended	<p><u>Accession, Deaccession and Processing Records (Special Collections)</u></p> <p>Records documenting the transfer of legal and physical custody of materials to and from the collection. It may include the date of transfer, name of and brief biographical information about the donor/creator, a brief description of the extent and contents of each box/container, documentation transferring intellectual property rights to the library, the accession number of the collection, information about the acquisition price and existence of copies of the materials, any restrictions on use of the collection, and other notes. These files may also contain information about what is retained or de-accessioned during the processing of each collection.</p> <p>These records include vital information regarding the provenance of University-owned special collection materials. Such information is critical to documenting the historical, cultural and intrinsic value of these items. The records also provide evidence of staff decisions concerning valuable materials thus documenting institutional accountability.</p>	1971	Paper or Electronic Format	Yes	No	No	-	-	Retention: PERMANENT As per industry best practice, records are kept permanently to ensure the provenance of materials in or that were once in agency custody is persevered.

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<p>UWL148</p> <p>New</p>	<p><u>Conservation Treatment Records</u></p> <p>Records document any repair or conservation treatment performed on art objects, artifacts and special collection materials, and may include a description of the action, the person or company performing such work, and related documentation.</p> <p>These records include vital information regarding the provenance of University-owned museum objects, special collections and archival materials. Such information is used to document the historical, cultural and intrinsic value of these items. The records also provide evidence of staff decisions concerning valuable materials thus documenting institutional accountability. Furthermore, conservation treatments frequently involve physical and chemical manipulations of objects and materials. The precise nature of these treatments must be understood in the future so that they may be augmented or reversed as part of the ongoing project to preserve the collections.</p> <p>New record series added to expand GRS coverage to include museums. Museum records were previously not scheduled agency-wide.</p>	1971	Paper or Electronic Format	Yes	Yes	No	-	-	<p>Retention: PERMANENT</p> <p>As per industry best practice, records are kept permanently to ensure the provenance of materials in or that were once in agency custody is persevered.</p>

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<p>UWL149</p> <p>New</p>	<p><u>Museum & Gallery Loan Records - Short Term</u></p> <p>Series documenting the borrowing or loan of collection materials by museums and galleries to other similar institutions. Including but not limited to: brochures; insurance certifications; loan forms; manuscript appraisals; condition and facility reports, and related correspondence.</p> <p>New record series added to expand GRS coverage to include museums. Museum records were previously not scheduled agency-wide.</p>	<p>1971</p>	<p>Paper or Electronic Format</p>	<p>Yes</p>	<p>Yes</p>	<p>No</p>	<p>-</p>	<p>-</p>	<p>Retention: EVENT + 5 years</p> <p>EVENT=Date materials loaned or borrowed are returned.</p> <p>Disposition: destroy confidential</p>
<p>UWL150</p> <p>New</p>	<p><u>Exhibition Records- Short Term</u></p> <p>Materials pertaining to the design, execution, and installation of exhibitions. Records include correspondence, memoranda, concepts, scripts, label texts, catalogs, promotional materials, clippings, installation photographs, floor plans, drawings, graphics, checklists, schedules, visitor comment books, notes, and related materials. Records may include the names of individuals responsible for the exhibit as well as visitors.</p> <p>New record series added to expand GRS coverage to include museums. Museum records were previously not scheduled agency-wide.</p>	<p>1971</p>	<p>Paper or Electronic Format</p>	<p>Yes</p>	<p>Yes</p>	<p>No</p>	<p>-</p>	<p>-</p>	<p>Retention: EVENT + 5 years</p> <p>EVENT=Date exhibit closed.</p> <p>Disposition: destroy confidential</p>

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4. Circulation & Interlending Records									
<p>UWLIB122</p> <p>Amended</p>	<p><u>Circulation Records</u></p> <p>Records documenting the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to: bibliographic information of item, the name and identification of the borrower; the titles of materials borrowed; the length of time borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.</p> <p>Circulation records are kept for the duration of a patron's status as an authorized borrower as a courtesy to patrons interested in their borrowing history.</p> <p>Circulation records are handled by the Alma integrated library system. Alma migrates circulation records into its analytics database. These records are scheduled under UWLIB147 for longer retention.</p>	1971	Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	<p>Retention: EVENT + 1 year destroy</p> <p>Event= Patron record's expiration date</p> <p>Disposition: destroy confidential</p>
<p>UWLIB124</p> <p>Renewed</p>	<p><u>Patron Circulation Correspondence</u></p> <p>Records of any patron communication generated through the integrated library system or by staff regarding circulation issues. These notices are sent most often to patrons to remind them to return borrowed items.</p>	1971	Paper or Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	<p>Retention: EVENT + 1 year</p> <p>Event= Date correspondence sent</p> <p>Disposition: destroy confidential</p>

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<p><u>UWLIB125</u> Renewed</p>	<p><u>Fee Recovery Records</u> Records produced (after a period of time determined by each institution's policy) when a patron fail to pay library fines or fees. These records may be sent to the University Cashier's Office or to a Collection Agency. Records may affect a patron's credit rating for a period of six years; therefore, they must be retained for a time period of no less than six years.</p>	1971	Paper or Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	<p>Retention: EVENT + 6 years</p> <p>Event= Date records are transferred regardless if they are eventually paid or unpaid.</p> <p>Disposition: destroy confidential</p>
<p><u>UWLIB126</u> Renewed</p>	<p><u>Patron Registration Form / User Agreements (Library)</u> Records related to registration of patrons, including, but not limited to: user agreements regarding the use of library resources and facilities, including those for intertype library consortium users; checkout forms regarding the names of borrowed resources and due dates for their return; or the forms by which patrons request and receive interlibrary loans of materials. Typically these serve as source documents for patron database.</p>	1971	Paper or Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	<p>Retention: EVENT + 2 weeks.</p> <p>Event= Completion of first circulation transaction or expiration of agreement.</p> <p>Disposition: destroy confidential</p>

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<p>UWLIB127</p> <p>Renewed</p>	<p><u>Search/Hold/Retrieval Requests</u></p> <p>Records created by library patrons asking library staff to find a missing item or retrieve and place a hold on an item. Record may include the name of the patron, contact information, campus ID number and bibliographic information regarding the title.</p>	1971	Paper or Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	<p>Retention: EVENT and destroy</p> <p>Event=Date search/hold is resolved.</p> <p>Disposition: destroy confidential</p>
<p>UWLIB128</p> <p>Renewed</p>	<p><u>Resolved Search Lists</u></p> <p>Cumulative list of resolved title searches for each academic year, includes only date, bibliographic information, and how the search was resolved.</p>	1971	Paper or Electronic Format	No	-	No	-	-	<p>Retention: EVENT + 1 year</p> <p>Event=End of academic year</p> <p>Disposition: destroy</p>
<p>UWLIB129</p> <p>Renewed</p>	<p><u>Stack Management Records</u></p> <p>Records created in the process of managing book and multi-media stacks. Records may include measurements of free space, shelf reading materials, shelving accuracy statistics, and other records created in the shelving and shifting of collections.</p>	1971	Paper or Electronic Format	No	-	No	-	-	<p>Retention: EVENT and destroy</p> <p>Event=When no longer needed</p> <p>Disposition: destroy</p>

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<p>UWLIB145</p> <p>New</p>	<p><u>Patron Record</u></p> <p>Records created within the library automated system that indicate name, address, major, class standing, etc. of library patrons. System allows for patrons of different user types including students, staff, and community members.</p> <p>New schedule added due to omission in previous GRS.</p>	1971	Electronic Format	Yes	No	<p>Yes</p> <p>Patron records protected per Wis. Stat §43.30 (1)(m), (2)</p>	-	-	<p>Retention: EVENT + 3 years</p> <p>Event=Date of last attendance, last day of employment, or expiration of user agreement</p> <p>Disposition: destroy confidential</p>
<p>UWLIB146</p> <p>New</p>	<p><u>Library Bibliographic Record</u></p> <p>Shared system catalog records of all library research materials considered part of the library collection including books, media, archival, and special collection materials. Records include descriptive metadata on each item.</p> <p>New schedule added due to omission in previous GRS.</p>	1971	Electronic Format	No	-	No	-	-	<p>Retention: EVENT and destroy.</p> <p>Event=Date last copy of item is withdrawn from use.</p> <p>Disposition: destroy</p>

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1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential / Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention / Disposition / Event
<p>UWLIB147</p> <p>New</p>	<p><u>Analytics Records</u></p> <p>Records of both incomplete and completed circulation and interlending actions created by the library automated system (Alma) that are migrated into a separate database for purpose of statistical analysis. The records include patron data as well as bibliographic. Alma Analytics records are kept 10 years to provide better collection security for special collections materials.</p> <p>New schedule added due to new functionality of the new library automated system (Alma)</p>	<p>1971</p>	<p>Electronic Format</p>	<p>Yes</p>	<p>No</p>	<p>Yes</p> <p>Patron records protected per Wis. Stat §43.30 (1)(m), (2)</p>	<p>-</p>	<p>-</p>	<p>Retention: EVENT + 10 years.</p> <p>Event=Date item is returned to the satisfaction of staff members.</p> <p>Disposition: destroy confidential</p>
<p>UWLIB130</p> <p>Amended</p>	<p><u>Interlending Records</u></p> <p>Records that track the request, shipping and return of library and archival items with other libraries through Interlibrary Loan and UW System borrowing and similar systems. Records may include but are not limited to, requests for materials, receipts, patron signed forms, routing slips and other records created in the borrowing and lending process. Records indicate when and where the library item was sent, when it is due back, and when it was returned.</p> <p>Records for materials interlended through UW System are handled by the Alma integrated library system. Alma migrates interlending records into its analytics database. These records are scheduled under UWLIB147 for longer retention.</p>	<p>1971</p>	<p>Electronic Format</p>	<p>Yes</p>	<p>No</p>	<p>Yes</p> <p>Patron records protected per Wis. Stat §43.30 (1)(m), (2)</p>	<p>-</p>	<p>-</p>	<p>Retention: EVENT + 1 year</p> <p>Event= Date item is returned or is otherwise completed</p> <p>Disposition: destroy confidential</p>

Records Retention / Disposition Authorization - Functional
Library, Archives and Museum General Records Schedule
UW System 285

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential / Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention / Disposition / Event
UWLIB133 Renewed	<u>Patron Information Update Records</u> Series pertaining to the updating of library patron records and may include user name, demographic data, NetID, or UW-ID. Records are kept for two weeks to facilitate troubleshooting or to document possible abuse and then destroyed confidentially.	1971	Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	Retention: CR + 2 weeks Disposition: destroy confidential

5. Other Systems									
UWLIB135 Renewed	<u>Library Website</u> Webpages may include online information about services, hours, library events and programs, links to popular reference resources, subscription databases, and provide a gateway to one or more online catalogs.	1971	Electronic Format	No	-	No	-	-	Retention: EVENT + 2 weeks Event= Significant website updates Disposition: transfer to University Archives as per institutional policy.

Records Retention / Disposition Authorization - Functional
Library, Archives and Museum General Records Schedule
UW System 285

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential / Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention / Disposition / Event
6. Programming									
UWLI137A Amended	<u>Programming and Events Files - External Communications</u> Records include materials developed for publicity and programming of public programs or events: files documenting performances and lectures may include promotional literature, printouts from performer websites, press releases, correspondence, and flyers. These files may include subject files about performers in general, flyers or other promotional materials and photographs of library programming and events.	1971	Paper and Electronic Format	No	-	No	-	-	Retention: EVENT + 1 year Event= End of Academic Year Disposition: Transfer to Archives
UWLI137B New	<u>Programming and Events Files - Administrative Records</u> Records may include the number and distribution sites of publicity materials, 1schedules as well as notes, permission/consent to photograph forms signed by attendees, any donation requests, Files may also include attendance sheets, reservation lists and program evaluations. Attendance sheets and reservations that include individuals' names should be destroyed confidentially after compilation of statistics. New schedule to separate material not necessary for archival preservation.	1971	Paper and Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2)	-	-	Retention: EVENT + 1 year Event= End of Academic Year Disposition: Destroy Confidential

Records Retention / Disposition Authorization - Functional
Library, Archives and Museum General Records Schedule
UW System 285

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential / Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention / Disposition / Event
7. Reference and Instruction									
UWLIB138 Amended	<u>Reference Questions and Tabulations (Library)</u> Records of written exchanges between patrons and library staff regarding ready reference or resource based questions made via email, text, chat or other forms of written communications. Series also includes records created to record the number and nature of the exchanges for statistical purposes.	1971	Paper and Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2))	-	-	Retention: EVENT + 6 months Event= Exchange is no longer needed for quality control or statistical purposes Disposition: destroy confidential
UWLIB139 Renewed	<u>Information Literacy Instruction Statistics</u> Records created to document classes taught by members of the library staff. Information will include the name of the staff member, the course number and title, department, instructor and number of students present.	1971	Paper and Electronic Format	Yes	Yes	No	-	-	Retention: EVENT + 1 year. Event= Academic year. Disposition: destroy confidential

Records Retention / Disposition Authorization - Functional
Library, Archives and Museum General Records Schedule
UW System 285

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential / Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention / Disposition / Event
UWLIB140 Renewed	<u>Library Instructional Materials</u> Materials created for patron use, explaining the use of the catalog, databases and other bibliographic tools.	1971	Paper and Electronic Format	No	-	No	-	-	Retention: EVENT + 6 months Event= No longer needed Disposition: destroy

8. Security									
UWLIB142 Amended	<u>Security Records</u> Records documenting incidents occurring on library property that require prolonged and substantial follow up. These records may include or refer to surveillance records, eye witness accounts, descriptions of damage or injury, dates, times, and nature of the incidents, along with other pertinent information. The records may also address further investigations or court proceedings.	1971	Paper and Electronic Format	Yes	No	Yes Patron records protected per Wis. Stat §43.30 (1)(m), (2) Student behavioral records protected by FERPA	-	-	Retention: EVENT + 3 years Event= Academic Year follow up was completed Disposition: destroy confidential

Records Retention / Disposition Authorization - Functional
Library, Archives and Museum General Records Schedule
UW System 285

1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential / Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention / Disposition / Event
<p>UWLIB143</p> <p>Amended</p>	<p><u>Incident Report Records (Non-injury)</u></p> <p>Series documents any unexpected (yet common) events on the library premises involving non-employees that require only minimal follow up. The records are incidents related to security issues such as tripped alarms, water leaks, unlocked secure doors, distressed individuals, and other similar events. It lists location, witnesses, any property damage, and actions to prevent reoccurrence. These records are reviewed and signed by relevant administrators. For injury related incident reports see RISK0045.</p> <p>In some cases personally identifiable information is recorded</p>	<p>1971</p>	<p>Paper and Electronic Format</p>	<p>Yes</p>	<p>No</p>	<p>Yes</p> <p>Patron records protected per Wis. Stat §43.30 (1)(m), (2) Student behavioral records protected by FERPA</p>	<p>-</p>	<p>-</p>	<p>Retention: EVENT + 1 year</p> <p>Event= Academic Year incident was considered handled.</p> <p>Disposition: destroy confidential</p>
<p>UWLIB144</p> <p>Amended</p>	<p><u>Patron Disciplinary Files</u></p> <p>Files documenting patrons who have received disciplinary action or prohibitory sanctions by the university or library. Records may consist of letters sent to patrons describing the unacceptable activity and the prohibitions on patron privileges. They may also contain correspondence with public safety or patron guardians.</p>	<p>1971</p>	<p>Paper and Electronic Format</p>	<p>Yes</p>	<p>No</p>	<p>Yes</p> <p>Patron records protected per Wis. Stat §43.30 (1)(m), (2) Student behavioral records protected by FERPA</p>	<p>-</p>	<p>-</p>	<p>Retention: EVENT + 3 years</p> <p>Event= Academic Year of last incident involving patron</p> <p>Disposition: destroy confidential</p>

Records Retention / Disposition Authorization - Functional
 Library, Archives and Museum General Records Schedule
 UW System 285

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

Closed/Superseded Series			
<i>Note: information only.</i>			
RDA Number	Record Series Title	Status	Notes / Comments
UWLIB100	Policy Documents	Superseded	See UWADM001 Policies and procedures
UWLIB101	Leadership Reports	Superseded	See UWADM023 Annual/Summary Reports
UWLIB102	Director's Subject Files	Superseded	See UWADM003 Alphabetical/Toical Files
UWLIB103	Library Use Reports	Superseded	See UWADM022 Routine Activity/Production Reports
UWLIB104	Meeting Records Internal Staff	Superseded	See UWADM018 Agendas/Minutes
UWLIB105	Procedures	Superseded	See UWADM001 Policies and procedures

Records Retention / Disposition Authorization - Functional
Library, Archives and Museum General Records Schedule
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UWLIB106	Library Strategic Plan	Superseded	See UWADM005 Planning Documents
UWLIB108	Confidentiality Form	Superseded	See UWIT0014 Assignment and Authorization for Users
UWLIB123	Circulation Records-Item History	Superseded	Combined with UWLIB122 Circulation Records
UWLIB131	Staff Client Records	Superseded	See UWIT015 Computer and Information Systems Logs
UWLIB134	Interlending Server Records	Superseded	See UWIT015 Computer and Information Systems Logs
UWLIB136	Library Newsletter	Superseded	See UWADM015 Publications
UWLIB141	Surveillance Records	Superseded	See UWPP207 Security Audio/Video Surveillance Records

Revision History <i>Note: information only</i>			
Revision Date	RDA Number	Record Series Title	Revision Description
2018	Numerous	Numerous	The 2018 revision of this schedule included widespread changes to many record series. Most changes were made due to the implementation of the Alma ILS in both libraries and archives. In addition, security records (UWLIB142, 143, 144) were modified to remove injury related incidents and to further distinguished less serious incidents from those requiring more follow up. In addition, several schedules have been added to include art galleries and museums.

Instructions for the Records Retention Schedule

Header

Program Title (r)¹

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

Agency Name (r)

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

Agency # (r)

- **State Agency:** Use the three-digit agency appropriation code assigned by Wis. Stat. § 20.005.
- **University of Wisconsin:** Use the three-digit statutory code (285) together with the alphabetical code assigned to the institution.
- **Local Units of Government, Other Entities:** Please contact PRB Staff.
- **Board/Commission:** The Records Officer may assign an additional alphabetical character to autonomous entities that are attached to an agency.

Division name (r)

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

Subdivision/Bureau/Program/Office (o)

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

Unit number (o)

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

Program Description (r):

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

Laws and Requirements (o):

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

Electronic Systems (r)

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

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

Provide the name, telephone number and email address for the agency's statutorily-designated Records Officer **or** other program contact, who may be contacted for further information regarding the record series.

Approval Signatures (r):

The Agency Records Officer, and at least one other agency official, such as the Agency Program Manager, Risk Manager, Legal Counsel, and/or the Legal Custodian of Records, must review, approve, and sign the RDA before submitting it to the PRB for approval. Prior to implementation, PRB approval and signature by the State Archivist are both required.

Functional Schedule Table:

1. RDA # / Status (r)

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

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

Instructions for the Records Retention Schedule

Prior to submission to the Public Records Board (PRB) for approval, every RDA must have a unique, sequential number. Agency Records Officers assign this number which is subject to PRB approval.

- The Records Officer must review past RDAs and then assign a number to new RDAs which has never been used.
- A suffix is not used for most records series. It is an optional alphabetical character that may be added to the end of the RDA number when used to indicate different retention periods, media, or dispositions for all or portions of the same records series.

b. **RDA Status: Indicate if the RDA is:**

- **NEW:** Request for approval of an RDA with a number that has never been submitted to the PRB. In the description, provide the reason for the creation of the RDA, for example: program re-organization, records identified during agency review, or brand new records being created.
- **AMENDED:** Request for approval of a change to an RDA that previously was approved by the PRB. Any revision to an RDA triggers amended status. Use existing RDA number.
- **RENEWAL:** The RDA has sunset and is being renewed without amendments. RDA's automatically sunset every 10 years, per Wis. Stat. § 16.61(4)(c). Use existing RDA number.

2. **RDA Title / Description (r)**

a. **Records Series Title:**

- Assign a descriptive title to the records series. Be certain that agency employees will be able to accurately identify the records series from its title. Do not use abbreviations or acronyms.

b. **Records Series Description:**

- The description is the most important section of the RDA. It informs the PRB, and others who are unfamiliar with the records series, what information is contained in the series, the business purpose for the information, and the reasons why the series was created and/or received by the agency.
- May include relevant statutory, rule citations, or other legal authority in order to clarify the content of the records and the authorization to create them. Additional information may be included as needed for employees to manage the records, such as providing guidance regarding who is custodian of the records within the series or conditions that must be met prior to disposition, as well as the relationship to any other record series.
- If requesting approval of a new RDA, provide the reason for the creation of the RDA. For example: program re-organization, records identified during agency review, or brand new records being created.
- "Record series" is defined by Wis. Stat. § 16.61(2)(c).

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

This is the year the agency first began creating or receiving records in this series. If the precise year is unknown, then provide an estimate.

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

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

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

- Enter Y (Yes) or N (No)

Wisconsin law requires authorities to specifically identify records series that contain personally identifiable information (PII). PII is defined in Wis. Stat. §19.62(5) as information that can be associated with a particular individual through one or more identifiers or other information or circumstances. Examples of PII include, but are not limited to, a person's name plus social security number or driver's license number. If the records associated with this RDA must be destroyed confidentially due to PII content, indicate yes even if some, but not all, of the records included in the RDA contain PII. If YES, complete #6. If NO, do not complete #6.

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

- Enter Y (Yes) or N (No)

Instructions for the Records Retention Schedule

Pursuant to Wis. Stat. §16.61(3)(u), the Public Records Board shall create a registry describing records that contain PII. The law specifies that records containing the following information shall not be included in the Registry:

- a. Any records series that contains the results of a matching program, as defined in Wis. Stat. §19.62 (3), if the state agency using the records series destroys the records series within one year after the records series was created;
- b. Mailing lists;
- c. Telephone directories;
- d. Records series pertaining exclusively to employees of a state agency;
- e. Records series specified by the board that contain personally identifiable information incidental to the primary purpose for which the records series was created, such as the name of a salesperson or a vendor in a records series of purchase orders; and,
- f. Records series relating to procurement or budgeting by a state agency.

If the records associated with this RDA are derived from any of the information stated immediately above in a. through f., indicate YES. Note: When this column is marked YES, the information in this RDA will be excluded from the PII Registry. When marked NO, the information in this RDA will be included in the PII Registry.

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

- Enter Y (Yes) or N (No)
- Indicate "yes" only if a specific statute, administrative rule, or other legal authority requires that all, or some, information in the record series be kept confidential or protected from public access. If "yes" is checked, identify the relevant statute, code, or other legal authority.
- Some, but not all, personally identifiable information (PII) is confidential. At the same time, records that do not contain PII may be required by law to be kept confidential or have limited access.
- For purposes of record retention and destruction, Wisconsin's Public Records Law and related statutes govern public access to records including certain confidentiality provisions.

8. **Essential (o)**

- Enter Y (Yes) or N (No)
- Records needed for the Continuity of Operations (COOP) during and following an emergency. These are records an agency must have to perform one or more of the following critical functions: operate during an emergency; resume or continue business after an emergency; re-establish the legal, financial, and/or functional status of the agency; rebuild the community after the crisis passes.

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

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

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

- a. **Retention Time Period:** SPECIFY AN ACTUAL TIME-PERIOD. Enter the number of years, months, weeks, or "Permanent" to indicate period of time for retaining the records. "Permanent" means that the records need to be maintained permanently by the creating agency. See the [Guidelines for the Permanent Retention of Records](#).
 - In the description provide specific justification to the PRB for the proposed retention time-period. Examples of appropriate justification include, but are not limited to: citation of controlling statutes or administrative rules, consistency with related retention schedules, audit or fiscal requirements, or end of business need.
 - If a retention time-period is required by law, cite the relevant statute, administrative rule, or other legal authority in the description.
- b. **Event:** Indicate the specific event that must occur in order to initiate the retention time-period. Identify this event using one of the following terms:
 - **CR:** If creation of the record initiates the retention time-period.

Instructions for the Records Retention Schedule

- **FIS:** The retention time-period is initiated by the end of a fiscal year, these records must be kept through the end of the Fiscal Year.
- **Other:** If a specific event other than “CR” or “FIS” initiates the retention time-period, use “other”. You must also state the event. You may provide a detailed description of the event within the Records Series Description if more space is needed.

c. **Disposition:** Indicate the disposition of the records after the retention time-period has expired. Only one disposition may be listed. Dispositions are:

- Destroy
- Destroy confidential
- Transfer to State Archives (WHS)
- Transfer to Other Location (Specify)
- Transfer to UW Archives

Indicate “Destroy Confidential” if the record series contains personally identifiable information (PII, see # 5), of the record’s access is restricted by law (see # 7). If a record series is marked as “destroy Confidential,” then the record destruction shall comply with all relevant legal requirements.

11. **Program area (o)**

A descriptive name for the functional grouping of records.

Reference Information:

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

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

Closed/Superseded Series (o)

List closed/superseded series that relate to the program described in the functional schedule. These series are included for agency reference purposes only. To close or supersede a schedule, complete form [DOA-3806](#).

Revision History (o)

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

Contact information: for records management training and assistance, please contact the Wisconsin Department of Administration, Records Management Section, by telephone at: (608) 266-2995. Many records management resources are available at the Public Records Board website: <http://publicrecordsboard.wi.gov>

Here are three helpful documents:

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