

STATE OF CONNECTICUT RECORDS RETENTION SCHEDULE
S9: LIBRARY, MUSEUM, SPECIAL COLLECTION, AND
ARCHIVAL RECORDS

(Issued: 01/2012)



STATE OF CONNECTICUT
Connecticut State Library
Office of the Public Records Administrator
231 Capitol Avenue, Hartford, CT 06106
www.cslib.org/publicrecords

1. **SCOPE:** This schedule lists records common to archives, libraries, and museums. It applies to state agencies in the executive branch, as well as certain quasi-public agencies and is used in conjunction with general schedules S1 through S10 and relevant agency schedules.
2. **AUTHORITY:** The Office of the Public Records Administrator issues this schedule under the authority granted by §11-8 and §11-8a of the *General Statutes of Connecticut*.
3. **SUPERSEDEENCE:** This schedule is new.
4. **DEFINITIONS:**
 - **PUBLIC RECORD:** "Any recorded data or information relating to the conduct of the public's business prepared, owned, used, received or retained by a public agency, or to which a public agency is entitled to receive a copy by law or contract under section 1-218, whether such data or information be handwritten, typed, tape-recorded, printed, Photostatted, photographed or recorded by any other method." [Source: CGS §1-200(5).]
 - **OFFICIAL RECORD COPY:** "Original or official copy of a record that is retained for legal, operational, or historical purposes." Retention requirements only apply to the official record copy. Note: In accordance with CGS §11-8a(c), administrative and fiscal values are included within "operational" purposes. [Source: *Glossary of Records and Information Management Terms, 3rd Edition*, ARMA International.]
 - **NON-RECORD:** "Item that is not usually included within the scope of official records." Examples of non-records are extra (duplicate) copies kept only for convenience, reference materials, and blank forms. [Source: *Glossary, 3rd Ed.*]
 - **RECORDS SERIES:** "A group of related records filed/used together as a unit and evaluated as a unit for retention purposes (e.g., a personnel file consisting of an application, reference letters, benefit forms, etc.)." Records on this schedule are arranged by records series. [Source: *Glossary, 3rd Ed.*]
 - **RECORDS CUSTODIAN:** "The individual or organization having possession of and responsibility for the care and control of material." [Source: Pearce-Moses, Richard. *A Glossary of Archival and Records Terminology*. Chicago, IL: Society of American Archivists, 2005.]
5. **RETENTION PERIODS:** Retention periods listed on this schedule are based on the records' administrative, fiscal, legal, and historical values, as well as statutory or regulatory requirements. In most instances the established period sets the minimum retention requirement. This office strongly recommends applying disposition to all records once the retention period has been met. However, some records have maximum retention periods set by federal or state statutes or regulations and **must** be destroyed at the end of the retention period. Please note that any statute or regulation listed in brackets in the "Retention" column indicates the legal citation that mandates the retention period.

If a records series has a retention period of, "Permanent / Archival," the agency should request approval to transfer the records to the State Archives or an approved archival repository once the records are inactive. If a records series has a note that indicates, "May contain historical value," the agency should contact the State Archives for archival review before requesting disposition of the records. Not all such records will be determined to be archival; conversely, some records without this statement might have archival value. See General Letter #2009-1 to transfer records to the State Archives.
6. **FORMAT:** Retention periods listed on this schedule apply to the official record copy, whether in paper, electronic, or other format. If records are maintained only in an electronic system, the records custodian must be able to retrieve and interpret the content for the retention period.

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7. **DISPOSITION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108), which is used to request permission to destroy or transfer records that have met the retention period. The agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator must sign the authorization form **prior** to destruction or transfer of records. The Office of the Public Records Administrator cannot grant continuing approval to destroy records on an ongoing basis. No records may be destroyed if there are pending or active Freedom of Information Act (FOIA) requests; litigations; investigations; audits; or other cases, claims, or actions. Note that if there is a destruction hold placed on records, the retention period does not change and that once the hold is lifted, the records may be destroyed after receipt of the signed Form RC-108.

DISPOSITION DUE TO REFORMATTING: Records custodians may request permission to dispose of original records that have been imaged provided the retention period is 10 years or less and the agency has submitted a *Certificate of Compliance* in accordance with the State Library's *Standards for the Use of Imaging Technology for Storage, Retrieval, and Disposition of Public Records*. With certain exceptions, records custodians may request permission to dispose of original records that have been microfilmed provided the agency has submitted a *Certificate of Compliance* in accordance with the State Library's *Required Minimum Microfilming Standards for Public Records*.
8. **OBSOLETE RECORDS:** Records designated as "OBSOLETE" or "SERIES CLOSED" are no longer created or received in the normal course of business. Records custodians should request approval for the appropriate disposition of any records so designated as soon as the retention period has passed.
9. **AUDIT REQUIREMENTS:** Under the Single Audit Act of 1984 (31 USC 7501), audit requirements apply to federal, state, and local programs. The retention requirement, "__ years, or until audited, whichever is later," requires further explanation. In most instances 'audit' refers to the general agency audit conducted by the State Auditors of Public Accounts or the general town or municipal audit conducted by an outside auditing agency, unless otherwise noted. The specific record itself may or may not have been examined as part of the audit process. The requirement of "until audited" is fulfilled when the official audit report is issued. The auditors may recommend that certain records be corrected. Such records, even when they meet retention requirements, must be retained during the period that any review is pending.
10. **FOIA DISCLOSURE:** This retention schedule governs the retention of records – not the disclosure of public records. Refer to CGS §1-200 et seq. or contact the Office of Governmental Accountability, Freedom of Information Commission (FOIC), regarding the disclosure of public records.
11. **RECORDS CREATION REQUIREMENT:** Nothing on this schedule mandates the creation of a record or records series if the agency does not already create it in the normal course of business. However, agencies should be aware of any additional recordkeeping requirements established by state or federal statute or regulation.
12. **CONFIDENTIALITY OF LIBRARY USERS AND LIBRARY TRANSACTIONS:** Pursuant to CGS §11-25(b), "(1) Notwithstanding section 1-210, records maintained by libraries that can be used to identify any library user, or link any user to a library transaction, regardless of format, shall be kept confidential, except that the records may be disclosed to officers, employees and agents of the library, as necessary for operation of the library. (2) Information contained in such records shall not be released to any third party, except (A) pursuant to a court order, or (B) with the written permission of the library user whose personal information is contained in the records. (3) For purposes of this subsection, "library" includes any library regularly open to the public, whether public or private, maintained by any industrial, commercial or other group or association, or by any governmental agency, but does not include libraries maintained by schools and institutions of higher education."

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Series #	Records Series Title	Description	Retention	Disposition	Notes
S9-010	Acquisition Records, Library	This series documents the online access, receipt, and payment history for holdings of library materials in all formats. Includes active, sold, and discarded (withdrawn) titles. Including but not limited to: periodical check-in cards; shelf list cards; payment cards; serials data input work form sheets; serials renewals; serials usage reports; license agreements; serial lists; serials inventory worksheets; and records documenting transfer of library materials between institutions.	3 years, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	Records of some holdings may be part of S9-020 Bibliographic Catalog Records.
S9-020	Bibliographic Catalog Records	This series documents the bibliographic and item information represented in catalog and electronic systems (e.g., Integrated Library Systems [ILS]; union catalogs; Online Public Access Catalogs [OPACs], and discovery tools). Includes shelf lists and shelf list cards.	Until superseded or no longer administratively useful	Destroy	See S9-050 Deaccession Records for records that document the deaccessioning of materials. "Item information" also known as item circulation history.
S9-030	Accession Records	This series documents the acceptance of materials into archives, libraries, special collections, and museums. Including but not limited to: accession worksheets; memorandums of transfer; deeds of gift; supporting documentation; donor information; gift forms; worksheets of physical descriptions; photographs of objects; conservation information regarding objects; background research; and accession ledgers.	Permanent	Retain in agency	

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Series #	Records Series Title	Description	Retention	Disposition	Notes
S9-040	Collection Records	This series documents the description of materials in archives, libraries, special collections, and museums. Including but not limited to: appraisal reports; original container listings; rulings regarding access (e.g., Attorney General, statutory, or court rulings); background materials; biographical information; conservation or preservation reports; photographs; legal documentation; correspondence; and lists of record groups. Also known as record group files.	Permanent	Retain in agency	
S9-050	Deaccession Records	This series documents the deaccessioning of materials from archives, libraries, special collections, and museums. Including but not limited to: reappraisal reports and recommendations; approval memoranda; copies of related oversight board agenda and minutes; and related correspondence.	Permanent	Retain in agency	
S9-060	Exhibition Records	This series documents the planning, display, and use of artifacts and materials from archives, libraries, special collections, and museums. Including but not limited to: planning documentation; installation photographs; sketches; worksheets; loan agreements; certificates of insurance; shipping receipts; exhibit catalogs; publicity; and related correspondence.	5 years from date exhibition closed, or materials loaned or borrowed are returned, whichever is later	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.

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Series #	Records Series Title	Description	Retention	Disposition	Notes
S9-070	Loan Records	This series documents loans of materials from archives, special collections, and museums to other institutions. Including but not limited to: brochures; insurance certifications; loan forms; manuscript appraisals; and related correspondence.	5 years from date materials loaned or borrowed are returned	Destroy after receipt of signed Form RC-108	
S9-080	Interlibrary Loan Request Records	This series documents requests for reproductions of materials and the fulfillment of such requests. Including but not limited to: requests; invoices; and related documentation.	3 calendar years from end of calendar year to which record relates [National Commissions on New Technological Uses of Copyright Works (CONTU) Guidelines on Photocopying under Interlibrary Loan Arrangements]	Destroy after receipt of signed Form RC-108	
S9-090	Library Services and Technology Act Grant Files	This series documents grant funding from the Institute of Museum and Library Services' (IMLS) Library Services and Technology Act (LSTA). Including but not limited to: financial records; supporting documentation; statistical records; and all other records pertinent to the grant.	3 years from the date of submission of the final Financial Status Report of each five year grant cycle [2 CFR §215.53 and 45 CFR §1183.42]	Destroy after receipt of signed Form RC-108	Since the entire 5 year package of documents is pertinent to the State Program, records for all documents associated with that 5 year period must be kept until 3 years after the last report is submitted.
S9-100	Patron Registration Records	This series documents patrons' access rights and privileges to borrow materials. Including but not limited to: application information and supporting documentation.	Until registration is no longer active	Destroy after receipt of signed Form RC-108	
S9-110	Patron Registration Records – Equipment Access	This series documents patrons' access rights and privileges to utilize equipment (e.g., computer terminals or microfilm readers). Including but not limited to: registers; logs; and sign-up sheets.	30 days	Destroy after receipt of signed Form RC-108	

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Series #	Records Series Title	Description	Retention	Disposition	Notes
S9-120	Patron Use Records	This series documents the borrowing history of specific patrons. Includes all information that identifies patrons utilizing particular non-restricted materials.	Until item returned	Destroy	See note #12 on p. 2 for confidentiality of library users and library transactions.
S9-130	Patron Access, Retrieval, and Use of Restricted Materials Records	This series documents patrons' access rights and privileges to, and retrieval and use of, restricted materials such as archival collections and special collections. Including but not limited to: applications; call slips; and related documentation.	25 years	Destroy after receipt of signed Form RC-108	
S9-140	Permission to Publish, Exhibit, or Broadcast Records	This series documents requests for permission to publish, exhibit, or broadcast reproductions of materials. Including but not limited to: applications; and related correspondence.	5 years from date permission granted / denied	Destroy after receipt of signed Form RC-108	
S9-150	Research Aids	This series documents research aids created by staff for patrons to facilitate research or access to archives, library, special collections, and museum materials. Including but not limited to: collection guides; finding aids; indices; locators; pathfinders; and research or subject guides.	Until superseded or no longer administratively useful	Destroy	May have historical value – contact institutional archives or State Archivist prior to disposal. See S1-380 for Agency Publications.
S9-160	Usage Statistics	This series documents usage of archives, libraries, special collections, and museums and the overall circulation of materials. Including but not limited to: raw statistical data.	1 year from end of year to which record relates	Destroy after receipt of signed Form RC-108	