

MUNICIPAL RECORDS RETENTION/DISPOSITION SCHEDULE
**M11: LIBRARY, MUSEUM, SPECIAL COLLECTION, AND
ARCHIVAL RECORDS**

(Revised: 11/2013)



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

1. **SCOPE:** This schedule lists records common to libraries and the collections they maintain including special collections, archival records and museum artifacts. It applies to towns, cities, boroughs, districts, and other political subdivisions of the state, as well as certain quasi-public agencies and is used in conjunction with general schedules M1 through M16. Association libraries designated as the principal public library as defined by § 11-24a(2) of the *General Statutes of Connecticut* provide a government service. As a result, they are considered quasi-public agencies and fall under the purview of the Office of the Public Records Administrator.
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 supersedes *Municipalities' Records Retention Schedule M11: Library Records (02/2005)*.
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.]
 - **ESSENTIAL RECORD:** "Records that are fundamental to the functioning of an organization. Certain vital [essential] records contain information critical to the continued operation or survival of an organization during or immediately following a crisis. Such records are necessary to continue operations without delay under abnormal conditions. They contain information necessary to recreate an organization's legal and financial status and to preserve the rights and obligations of stakeholders." [Source: *Vital Records*, p. 6.]
 - **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.

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Records of historical value should be preserved for the benefit of historians and other researchers. "Historical" denotes that the municipality may request that a records series be transferred to a local, regional, or state repository approved by the Office of the Public Records Administrator. If a records series has a note that indicates, "May have historical value," the municipality or other entity 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.

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.
7. **DISPOSITION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-075), which is used to request permission to destroy or transfer records that have met the retention period. The custodian of record, the head of municipality (or head of the Library Board for an Association Library), the superintendent of schools (for education records), 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. Institutions which utilize vendor services must ensure that vendor retention and disposition practices conform to all records management requirements.

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-075.

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. **CROSS REFERENCES:** Series numbers enclosed in parentheses indicates that a series listed on this schedule has the same function and falls under the record series with that number on another general retention schedule.
9. **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.
10. **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.
11. **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.
12. **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.

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13. **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.”

Sections

- A. Administrative Records**
- B. Library Collection Materials**

- C. Non-Library Collection Materials**

Series #	Records Series Title	Description	Retention	Disposition	Notes
A. ADMINISTRATIVE RECORDS					
M11-010	Donation Records – Bequests and Endowments	This series documents the transfer and use of money or property (i.e., bequests and endowments) to an institution. This series may contain, but is not limited to, donor information, copies of wills, bequest documents, endowment documents, trust documents, acknowledgement letters, award guidelines, records documenting conditions or restraints of gift or contribution, letters and agreements of gift, copy of gift disclosure, donation forms, donation lists, deeds, related correspondence and similar documents.	Permanent	Maintain in agency	ESSENTIAL RECORD
M11-020	Donation Records – No Donation Made	This series documents the solicitation of money or property (i.e., bequests and endowments) to an institution which does not result in a donation. This series may contain, but is not limited to, donor information, correspondence and other related documents.	2 years from date of last contact	Destroy after receipt of signed Form RC-075	ESSENTIAL RECORD

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Series #	Records Series Title	Description	Retention	Disposition	Notes
M11-030	Facilities Use Records	This series documents the use of agency facilities for activities, programs and community events. This series may contain, but is not limited to facility request forms, scheduling calendars, contracts or other forms consenting to abide by the library's policies regarding use of facilities, and related correspondence. The consent forms are signed by the requestor and may include personal or financial identification information.	Current year plus 1 year	Destroy after receipt of signed Form RC-075	Libraries using scheduling software such as <i>Evanced Solutions</i> , <i>Library Insight</i> , or <i>Google Calendar</i> must maintain an on-site copy in either paper or electronic format for the required retention period. See Note #7 at beginning of schedule.
M11-040	Library Board/Trustee Governance Records	This series documents the structure and responsibilities of the board, and state the manner in which the library will meet its regulatory requirements and achieve best practice standards. This series may contain, but is not limited to by-laws, charters or other authorizing documentation.	Permanent	Maintain in agency	ESSENTIAL RECORD <i>See Records Retention Schedule M1 General Administration Records</i> for related records including but not limited to board minutes, agendas and policies.
M11-050	Library Services and Construction Act Title II Grant Files	<i>[OBSOLETE]</i> This series documents grant funding from federal Library Services and Construction Act (LSCA). This series may contain, but is not limited to financial records, supporting documentation, statistical records, and all other records pertinent to the grant.	20 years after receipt of final payment from state	Destroy after receipt of signed Form RC-075	The federal construction program ended in 1996. Federal regulations maintain that a "Federal Interest" is attributable to all state projects funded in part by Title II for a period of twenty years after the completion of those projects. [20 USC 355b(c)]

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Series #	Records Series Title	Description	Retention	Disposition	Notes
M11-060	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). This series may contain, but is 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-075	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. For other grants not related to construction or technology, see M1-145.
(M1-055)	Patron Complaint Files	This series documents patron complaints. This series may contain, but is not limited to complaint, preliminary investigations, findings, background material and responses.	2 years after resolution	Destroy after receipt of signed Form RC-075	Formal complaints concerning censorship issues (including filtering) are normally reviewed and decided by the Board of Trustees. These types of complaints may have historical value. Contact State Archivist prior to submission of Form RC-075.
M11-070	Patron Disciplinary Files	This series documents patrons who have received disciplinary action or prohibitory sanctions. This series may contain, but is not limited to 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. They are organized by patron name.	10 years from date of last incident	Destroy after receipt of signed Form RC-075	See <i>Records Retention Schedule M7 Public Safety and Emergency Services Records</i> for related case files.
M11-080	Patron Registration Records	This series documents patrons' access rights and privileges to borrow materials. This series may contain, but is not limited to application information and supporting documentation.	Until registration is no longer active	Destroy	ESSENTIAL RECORD See note #13 on p. 2 for confidentiality of library users and library transactions.

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Series #	Records Series Title	Description	Retention	Disposition	Notes
M11-090	Patron Registration Records – Equipment Access	This series documents patrons' access rights and privileges to utilize equipment (e.g., computer terminals or microfilm readers). This series may contain, but is not limited to registers, logs, and sign-up sheets.	Retain as long as administratively useful	Destroy after receipt of signed Form RC-075	ESSENTIAL RECORD
M11-100	Patron Use Records	This series documents the borrowing history of specific patrons. This series may contain, but is not limited to all information that identifies patrons utilizing particular non-restricted materials including Inter-Library Loan [ILL] materials.	Until item returned	Destroy	ESSENTIAL RECORD See note #13 on p. 2 for confidentiality of library users and library transactions. For ILL requests of copies see M11-160.
M11-110	Public Library Construction Program Grant Files, Connecticut State	This series documents grant funding from the state Public Library Construction Program. This series may contain, but is not limited to financial records, supporting documentation, statistical records, and all other records pertinent to the grant.	10 years after receipt of final payment from state [Connecticut State Library: <i>State Grant Program For Public Library Construction Timetable and Guidelines</i>]	Destroy after receipt of signed Form RC-075	Connecticut General Statutes §11-24c For other grants not related to construction or technology, see M1-145.
M11-120	Usage Statistics	This series documents usage of archives, libraries, special collections, and museums and the overall circulation of materials. This series may contain, but is not limited to raw statistical data.	1 year from end of year to which record relates	Destroy after receipt of signed Form RC-075	
M11-130	Volunteer/Community Service Files	These files document volunteer or community service workers. They may identify assignment locations, hours worked, background checks, and training related to the job. This series may contain, but is not limited to an application, signed forms authorizing the release of employee information, correspondence with program officers, timesheets and schedules.	5 years from date of last contact	Destroy after receipt of signed Form RC-075	Pages and stack attendants are paid employees. The personnel office should retain an individual's official personnel record. See <i>Records Retention Schedule M2 Personnel Records</i> for retention of the official personnel record.

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Series #	Records Series Title	Description	Retention	Disposition	Notes
B. LIBRARY COLLECTION MATERIALS					
M11-140	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). This series may contain, but is not limited to shelf lists and shelf list cards.	Until superseded or no longer administratively useful	Destroy	ESSENTIAL RECORD "Item information" is also known as the item circulation history.
M11-150	Connecticard Transaction Records	This series documents participation in the Connecticard program pursuant to CGS §11-31a and §11-31b. This series may contain, but is not limited to monthly reports submitted to the State Library, records of related reimbursement, and reported use of monies.	3 years, or until audited, whichever is later	Destroy after receipt of signed Form RC-075	ESSENTIAL RECORD
M11-160	Interlibrary Loan Copy Request Records	This series documents requests for reproductions of materials and the fulfillment of such requests. This series may contain, but is not limited to requests, invoices, and related documentation.	3 calendar years from end of calendar year to which record relates [National Commission on New Technological Uses of Copyright Works (CONTU) Guidelines on Photocopying under Interlibrary Loan Arrangements]	Destroy after receipt of signed Form RC-075	ESSENTIAL RECORD This requirement only applies to the requesting/borrowing library. For ILL requests of hard copy materials, see M11-100

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Series #	Records Series Title	Description	Retention	Disposition	Notes
M11-170	Universal Service Support Program Records	This series documents participation in the universal service support program for discounted telecommunications services, voice mail, Internet access, and internal connections. This series may contain, but is not limited to a technology assessment and plan as well as the documents required by the Federal Communication Commission [FCC] pursuant to <i>Schools and Libraries Universal Service Support Mechanism</i> , 19 FCC Rcd. 15808, 15824 ¶48 (2004)	5 years after the last day of delivery of the discounted services [54 CFR 516 (a)]	Destroy after receipt of signed Form RC-075	
C. NON-LIBRARY COLLECTION MATERIALS					
M11-180	Accession Records	This series documents the acceptance of archival and special collection materials, and museum artifacts by an institution. This series may contain, but is 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	<p>ESSENTIAL RECORD</p> <p>See <i>Records Retention Schedule M3 Fiscal Records</i> for transactions related to the purchase of collection materials.</p> <p>See M11-200 Deaccession Records for records that document the removal of materials from a collection.</p>

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Series #	Records Series Title	Description	Retention	Disposition	Notes
M11-190	Collection Control Records	This series documents the description of archival and special collection materials, and museum artifacts by an institution. This series may contain, but is 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	ESSENTIAL RECORD
M11-200	Deaccession Records	This series documents the sale, transfer or removal of archival and special collection materials, and museum artifacts from an institution's collections. This series may contain, but is not limited to reappraisal reports and recommendations, approval memoranda, copies of related oversight board agenda and minutes, and related correspondence.	Permanent	Retain in agency	ESSENTIAL RECORD
M11-210	Exhibition Records	This series documents the planning, display, and use of artifacts and materials from archives, special collections, and museums. This series may contain, but is 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-075	May have historical value – contact State Archivist prior to submission of Form RC-075. See note #5 on p. 2 regarding the retention of records with historical value.

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Series #	Records Series Title	Description	Retention	Disposition	Notes
M11-220	Loan Records	This series documents loans of materials from archives, special collections, and museums to other institutions. This series may contain, but is 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-075	ESSENTIAL RECORD
M11-230	Permission to Publish, Exhibit, or Broadcast Records	This series documents requests for permission to publish, exhibit, or broadcast reproductions of archives, museum artifacts and other collection materials as well as permission to publish patron images taken at library events. This series may contain, but is not limited to applications, and related correspondence.	5 years from date permission granted / denied	Destroy after receipt of signed Form RC-075	
M11-240	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. This series may contain, but is 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. See note #5 on p. 2 regarding the retention of records with historical value.
M11-250	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 special collections and archival collections. This series may contain, but is not limited to applications, call slips, and related documentation.	25 years	Destroy after receipt of signed Form RC-075	ESSENTIAL RECORD