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Transferring Archival Records from the State Library

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Transferring Archival Records from the State Library

Secs. 11-8a-1—11-8a-4. Reserved

Sec. 11-8a-5. Definitions

(a) “Reappraisal” means the process of reviewing the value of an archival record already in the custody of the State Archives, based on current collecting guidelines and documentation strategies and professional archival appraisal criteria for purposes of retention or transfer.

(b) “Repository” means any archive, museum, library, historical society, or local government which possesses an adequate facility and shows commitment to the care of archival records. Criteria for showing commitment may include the following: adequate funding, staffing, training and any other factor deemed appropriate.

(c) “Transfer” means the conveyance of physical custody and legal title of archival records from one party to another.

(Effective September 29, 1989)

Sec. 11-8a-6. Applicability

These regulations shall apply only to non-governmental and local government archival records in the custody of the Connecticut State Library. They shall not apply to state government (executive, legislative, judicial) archival records in the Library’s custody.

(Effective September 29, 1989)

Sec. 11-8a-7. Steps in the transfer process

(a) Reappraisal Report

(1) A reappraisal report must be prepared by State Archives staff for review by the State Archivist if a repository submits a written request for transfer of archival records. It may be prepared for review by the State Archivist in the normal course of reappraising the holdings of the State Archives.

(2) The report will contain the following information on each record: title; inclusive dates; informational content; provenance or origins, if known; format; size; quantity; recommendation for retaining copies of the records in the state archives; current restrictions on use and copying; problems in storing, transporting, and preserving the records.

(3) The report will conclude with a recommendation for transfer, based on one or more of the following criteria:

(A) The records do not fit into the collection management statement of the State Archives.

(B) The records do not have any enduring intrinsic or informational value to warrant continued retention by the State Archives.

(C) The records do have enduring intrinsic value for the requesting repository.

(D) The State Library does not have the resources, staff, or ability to properly preserve and/or store the records.

(E) The records raise potential problems regarding public access.

(b) Action by State Archivist on the Reappraisal Report.

(1) All reappraisal reports will be reviewed by the State Archivist for approval or rejection.

(2) All repositories shall receive a written report from the State Archivist, stating the reasons for disapproval of a request to transfer.

(3) If the State Archivist approves the Reappraisal Report, he shall prepare a Recommendation of Transfer.

(c) Recommendation of Transfer

The Recommendation for Transfer shall include the following information:

- (1) Copy of the Reappraisal Report prepared by the State Archivist.
- (2) If applicable, description of arrangements under which copies of archival records evaluated will be retained in the State Archives.
- (3) Name of recommended repository to receive the transfer, and a description of the way in which the records fit the repository's existing collecting guidelines or mission statement.
- (4) For repositories located within the State, an inspection report certifying their facility signed by the Public Records Administrator; for out-of-state repositories, a written report of the facility in which the records will be housed, detailing fire protection, anti-theft devices, and disaster prevention and recovery procedures in operation, signed and dated by authorized administrative personnel of the recommended repository and by the Public Records Administrator. No repository will be recommended unless its facility has been approved by the Public Records Administrator.
- (5) Letter signed by the administrative head or chief officer of the governing board of the repository, expressing a willingness to receive, care for, and provide widest possible public access to the records.

(6) Written approval signed by the original donor, heirs, or authorized representatives, if they are known and available.

(7) Description of arrangements under which records will be conveyed. The State Archivist may require evidence that the records are covered by adequate transport insurance, the cost of which should be borne by the receiving repository. The insurance should cover a fair market value of the records as provided by a qualified manuscript appraiser.

(d) Review of and Action on Recommendation for Transfer.

(1) The State Archivist shall forward the Recommendation for Transfer to the Associate State Librarian for Programs for review.

(2) Upon written approval, the Associate State Librarian for Programs shall forward the recommendation to the State Librarian for review.

(3) If the State Librarian approves the recommendation in writing, he shall put the transfer on the agenda of the next meeting of the State Library Board.

(4) If a majority of the State Library Board approves the recommendations for transfer, the State Librarian shall return the recommendation with a signed memo directing final action to the State Archivist.

(e) Completion of Transfer.

(1) Upon receiving the approved Recommendation for Transfer, the State Archivist shall contact the receiving repository to arrange for the conveyance of the records.

(2) The State Archivist, or his representative, shall physically convey the records only to identified authorized representatives of the receiving repository. If applicable, the receiving repository must accept physical custody and legal title at the Connecticut State Library or at a designated off-site repository. Upon receiving the records, the representative or the receiving repository shall sign a receipt of custody. The State Archivist, or his representative, shall attach the receipt to the Recommendation for Transfer and shall inform the State Librarian of the completion of the transfer. The State Librarian shall inform the State Library Board of all completed transfers.

(3) The State Archivist shall maintain all files documenting the transfer of archival records from the State Library.

(Effective September 29, 1989)