

Albright-Knox Art Gallery Archives Records Retention and Disposition Schedule

RECORD TYPES

The following types of documents will be retained for the following periods of time. At least one (1) copy of each document will be retained according to the following schedule.

FY = Fiscal Year (July 1-June 30)

CY = Current Calendar Year

P = Permanent Retention.

GENERAL

Record type		Retention Period		
		Office	Archives	Total
Administrative procedure manuals	Procedure manuals created by individual departments should be kept for seven (7) years, even if subsequently revised or updated, and then discarded.	7 yrs.		7 yrs.
AKAG publications	Publications is the office of record. See Publications section of this schedule. Other departments discard copies when no longer useful.			
Budgets	Accounting is the office of record. See Accounting section of this schedule. Other departments may keep copies of their budgets/supporting documentation while they are useful.			
Contracts and agreements related to artwork	Retained by the Registrar in the Documentation files. See Registrar section of this schedule.			
Contracts and agreements not related to artwork	Reside with the contracting department. Can include IT vendor and system contracts, maintenance contracts, rights/reproduction contracts, etc.	While in effect + 5 yrs.		While in effect + 5 yrs.

Financial records	Accounting is the office of record. See Accounting section of this schedule. Other departments may keep financial documents such as purchase orders, invoices, etc., until they are no longer needed, but may not retain copies longer than Accounting's retention period.			
Meeting minutes	The department that called the meeting is the office of record. Other departments discard copies when no longer useful.	5 yrs.	P	P
Quarterly reports	Quarterly reports of departmental activities and statistics. Originating department is the department of record. See individual department sections of this schedule. Other departments discard copies when no longer useful.			
Personnel records	Human Resources is the office of record. See HR section of this schedule. Other departments discard copies when no longer useful, and may not retain copies longer than Human Resource's retention period.			
Routine correspondence	Correspondence of no enduring administrative, legal, or historical value, such as routine responses, thank you letters, form letters, etc.	5 yrs.		5 yrs.
Significant correspondence	Correspondence documenting significant policies, decisions, events, relationships with important people, or professional activities.	5 yrs.	P	P

SAA Museum Archives Section Working Group Example

ACCOUNTING (RG10)

Record type		Retention Period		
		Office	Archives	Total
Accounts payable and receivable	Includes credit card statements, cancelled checks, cash disbursements, paid invoices, petty cash, and transaction postings.	8 yrs.		8 yrs.
Audited financial statements		8 yrs.	P	P
Bank agreements and statements		8 yrs.		
Budgets	Departmental and institutional.	3 yrs.	P	P
Cash receipts		8 yrs.		8 yrs.
Bond allocation and use documents		Life of bond + 6 yrs.		Life of bond + 6 yrs.
Employee earning records	Includes timesheets and attendance records.	8 yrs.		8 yrs.
Expense reports		6 yrs.		6 yrs.
General ledger		5 yrs.	P	P
Investments and custodial agreements		3 yrs.	P	P
IRS documents				
Annual tax return		10 yrs.	P	P
IRS determination letter	May keep reference copy in office.		P	P
Report of benefit plans (Form 5000)		8 yrs.		8 yrs.
Statement of misc. income (1099-MIC)		8 yrs.		8 yrs.
W2 forms		8 yrs.		8 yrs.
Journal entries		8 yrs.		8 yrs.
New York State records				
Garnishment records		8 yrs.		
Property tax returns		P		P

Sales tax	Including tax exemption document.	P		P
Unemployment tax		8 yrs.		
Payroll (active)		While active		While active
Payroll (inactive)		6 yrs. after inactive date		6 yrs. after inactive date

SAA Museum Archives Section Working Group Example



ADMINISTRATION (RG2, RG5)

Record type		Retention Period		
		Office	Archives	Total
Art Committee meeting minutes		FY + 1	P	P
Board files	Includes correspondence about individual trustees, committee by-laws and structure, Board member biographies, and Board/Board committee meeting minutes.	FY + 1	P	P
Bylaws, Certificate of Incorporation, and Charter			P	P
Emergency and Disaster Response Plan	Current plan in Administrative Office, with at least one (1) copy offsite.	While active	P	P
Insurance policies (non-art)		While in effect + 7 yrs.		While in effect + 7 yrs.
Internship program files	Applications, correspondence, evaluations and materials pertaining to the Internship program.	FY + 6		7 yrs.
Mortgages, leases and notes (active)		P		
Mortgages, leases and notes (expired)		Inactive date + 8 yrs.		Inactive date + 8 yrs.
Project files	Working files on special non-exhibition projects such as reaccreditation, 150 th anniversary, etc.	While active	P	P
Strategic plan		While active	P	P

Pending/Current Exhibition files	Correspondence, including with lenders, artist and other museums, relating to current, circulating and future exhibitions. Arranged alphabetically.	While active, then transfer to Past Exhibition file		
Past Exhibition files	As above	FY + 3		P

BUILDINGS AND GROUNDS (RG1:4)

Record type		Retention Period		
		Office	Archives	Total
Blueprints and building plans	Original plans and blueprints.		P	P
Physical plant files	Materials related to maintenance and repair of all existing museum properties.	FY + 1	P	P
Maintenance work orders		FY		FY

SAA Museum Archives Section Working Group Example



CURATORIAL (RG3)

Record type		Retention Period		
		Office	Archives	Total
Exhibition files	Materials regarding research, planning and implementation of exhibitions, arranged chronologically date of opening. May contain budgets, correspondence, contract and shipping info, memos, and invoices, exhibition label text, et cetera. (Catalogue essays go in Publication research files, below)	While useful	P	P
Declined exhibition files	Correspondence and other materials related to exhibitions we decline.	CY + 1	P	
Artwork acquisition files	Research and correspondence regarding new acquisitions should be turned over to the Registrar for the Documentation file when the work is acquired.			
Incoming loan files	Correspondence and loan request forms for incoming loans.	CY + 1	P	P
Outgoing loan files	Correspondence and loan request forms for outgoing loans.	CY + 1	P	P
Object files	Reference files for curatorial use regarding objects in our collection. All original materials regarding objects reside in Documentation files in Registrar's department.	P		P
Publication research files	Research, correspondence, and final draft of essays, articles, et cetera (whether published by the AK or someone else). Arranged alphabetically by title of publication.	While useful		P
Deaccession files	Correspondence, research, reports to Art committee. Eventual sales records go to doc file. Art Committee agenda, minutes are in Admin RG	While useful		P
Project files	Materials regarding special, non-exhibition projects, such as job searches, lectures, etc.	While useful	P	P
Correspondence files	General correspondence that does not fit into any other type of file.	While useful	P (selected)	P (selected)

Development/Membership (RG1:6)

Record type		Retention Period		
		Office	Archives	Total
Annual Fund files	Working files, including brochures, correspondence, final versions of letters, etc.	FY + 5	P	P
Proposal files	Applications, correspondence, etc. regarding corporate, foundation, and government funding proposals, including rejected applications.	FY + 5	P	P
Grant files	Materials related to awarded grants, including reports.	While active + 5 yrs.	P	P
Corporate files		P		P
Foundation files		P		P
Individual donor files		P		P
Prospect files		P		P
Planned giving files		P		P
Estate files	Originals of legal documents are transferred immediately to Archives, and reference copies are kept in office. Also includes correspondence and other materials related to bequests, wills, trusts, etc.	P	P (original legal docs)	P
Project files	Includes files for special fundraising events or projects not already listed here.	FY + 5 yrs.	P	P
Rockin' at the Knox files		FY + 5 yrs.	P	P
At Work files		FY + 5 yrs.	P	P
Membership database		P		P

EDUCATION (RG11)

Record type		Retention Period		
		Office	Archives	Total
Individual docent files	Materials related to the members of each year's docent class. Only transfer to a list of each year's docents to Archives.	While active	P (list of docents only)	P
Docent program files	Materials regarding administration of docent program, including procedures, handbooks, training materials, etc.	While useful		P
Education-curated exhibition files	Materials regarding exhibitions curated by the Education department.	While active	P	P
Exhibition files	Materials regarding exhibitions curated by the Curatorial department	While active	P	P
Program files	Materials regarding ongoing programs of the Education department, including Free First Fridays, summer youth art classes, Future Curators, etc.	While useful	P	P
Project files	Materials regarding special projects or initiatives.	While active	P	P
Tour files	Working files regarding requests for tours, tour schedules, confirmation letters, docent assignments.	While useful		While useful
Yearly tour record	Log of tours for year.	CY	P	
Audio tour files	Transcripts of audio tours.	While useful	P	P

SAA Museum Archives Section Working Group Example

GALLERY RESTAURANT (RG12)

Record type		Retention Period		
		Office	Archives	Total
Daily paperwork	Credit card slips, register tapes, guest checks, etc.	FY + 3 yrs.		FY + 3 yrs.
Vendor files		FY + 7 yrs.		FY + 7 yrs.
Menus		While active	P	P

GALLERY SHOP (RG12.1)

Record type		Retention Period		
		Office	Archives	Total
Retail files	Files about items sold in shop.	While active + 5 yrs.		While active + 5 yrs.
Inventory files	Materials related to annual inventory.	FY + 7 yrs.		FY + 7 yrs.
Licensing and permissions files	Materials related to licensing / reproduction agreements for shop products.	While active	P	P

GUEST SERVICES (RG12.2)

Record type		Retention Period		
		Office	Archives	Total
Attendance and admission reports		FY + 4 yrs.	P	P
Complaint files		FY + 4 yrs.		5 yrs.

HUMAN RESOURCES (RG12.3)

Record type		Retention Period		
		Office	Archives	Total
Employment applications (not hired)		90 days		90 days
Personnel records (active)		P		P
Personnel records (inactive)		4 yrs. after inactive date		4 yrs. after inactive date
Job descriptions		P		P
Worker's compensation files		6 yrs.		6 yrs.
Employee benefit plans		Active + 10 yrs.		Active + 10 yrs.

INFORMATION TECHNOLOGY (RG14 [TBD])

Record type		Retention Period		
		Office	Archives	Total
Equipment inventories		While useful		While useful
Server backups		2 months		2 months
Software licenses		While active		While active
Employee computer profiles		While active		While active
Digital images	Selected images only are retained are permanently in the Gallery's digital asset management system.	P		P

MARKETING/PUBLIC RELATIONS (RG8)

Record type		Retention Period		
		Office	Archives	Total
Press releases (Series 1)	Press releases for all Gallery activities, arranged in chronological order.	CY + 4	P	P
Advertisements	Born-digital advertisements should be printed out, if possible. If not, transfer in original format.	While useful	P	P
Marketing and media plans	Filed by name of exhibition, event, or campaign	While useful		While useful
Press clippings	Born-digital textual files should be printed out, and newspaper clippings should be photocopied onto acid-free paper prior to transfer to archives.	While useful	P	P

PUBLICATIONS (RG13)

Record type		Retention Period		
		Office	Archives	Total
AKAG publications	Transfer (3) copies to Archives.	3 yrs.	P	P
Publication working files	Materials related to research for, design of, and production of, Gallery publications.	While useful	P	P
Publication contracts		While active + 7 yrs.		While active + 7 yrs.
Website files	Hardcopies of web content.	While active	P	P

SAA Museum Archives Section Working Group Examples

REGISTRAR (RG4)

Record type		Retention Period		
		Office	Archives	Total
Documentation files (Series 1)	Including original, signed loan agreements, condition reports, conservation reports, original bill of sale, insurance policies, copyright agreements, and acquisition reports. May contain correspondence with artist and donors/vendors. Contain restricted financial. Arranged alphabetically by artist.	P		P
Accession cards (Series 8/9)	5 x 8" cards documenting all works currently in the collection as of December 31, 2010. (Accession cards are no longer created for works acquired after January 1, 2011.) Contain restricted information about value and condition.	P until work is deaccessioned		P
Incoming Loan files	Includes correspondence, paperwork and copies of signed loan agreements for incoming loans	CY + 3	P	P
Outgoing Loans (Series 2)	Includes correspondence, paperwork and copies of signed loan agreements for outgoing loans. "Works Returned form Loan"	CY + 3	P	P
Loans Cancelled and Refused	Correspondence and paperwork for outgoing loans that were cancelled or refused.	CY + 3	P	P
Shipping files	Correspondence and paperwork related to shipping of art works for acquisition, incoming, and outgoing loans.	CY + 3	P	P
Insurance records	Original insurance contracts for works of art	CY	P	P
Former Collection Files (Series 3)	"Files documenting works no longer in the collection"		P	P
Exhibition Files (Series 5)	Records and paperwork related to exhibitions (AK and ones to which AKAG has loaned work/s). Loans and shipping records for exhibition objects are filed in the separate Loan and Shipping files.	CY	P	P

Card Index Accession File (Series 6)	5 x 3 cards with brief description of accessioned works of art, arranged by accession number.	CY	P	P
Condition Reports (Series 7)	5 X 8 cards documenting conservation and condition of works of art in the collection. Arranged alphabetically by artist.	CY	P	P

RESEARCH RESOURCES (RG7)

Record type		Retention Period		
		Office	Archives	Total
Acquisition records		FY + 7 yrs.		8 yrs.
Vendor files	Correspondence and paperwork regarding vendors for library services and supplies. (Vendors for library materials are filed under Acquisition records)	FY + 3 yrs.		4 yrs.
Integrated library system records	Documentation, manuals, correspondence regarding the library's ILS	While active		While active
Researcher registration forms		FY + 10 yrs.		11 yrs.
Reference transaction records		FY + 10 yrs.		11 yrs.
Interlibrary loan files		FY + 3 yrs.		4 yrs.
Project files	Records related to special projects and initiatives.	While active	P	P
Library/Archives collection inventory	Archival finding aids and library catalog	While active	P	P
MIMSY XG records		P		P

SECURITY (RG12.X [TBD])

Record type		Retention Period		
		Office	Archives	Total
Accident and incident reports		FY	P	P
Log books		FY		FY
Special event sheets		FY		FY
Guard work schedule		FY		FY

SAA Museum Archives Section Working Group Example

