

# Records Retention & Management

**ACES Technology Council**

**June 17, 2020**



**CT State Library**

*Office of the Public Records Administrator*

# Presenters

**LeAnn Burbank, CRM**

Public Records Administrator

**Kathy Makover**

Field Archivist

**Elise Marzik**

Electronic Records Analyst

**Office of the Public Records Administrator**

**Connecticut State Library**

<https://ctstatelibrary.org/publicrecords/municipal>

# Agenda

- Statutory Requirements & Responsibilities
- Records Management Concepts
- Records Retention & Disposition
- Managing Records

# Records Management

“The **field of management** responsible for the **efficient and systematic control** of the creation, receipt, maintenance, use and disposition of **records**, including processes for capturing and maintaining evidence of and information **about business activities and transactions** in the form of records.”

Source: ISO 15489-1, “Information and documentation – Records management,” 2001.

# Purpose

- Ensure continuity of operations in the event of a disaster
- Identify and classify records that need to be retained and accounted for over time
- Establish guidelines for maintaining, using and controlling active and inactive records
- Identify the person(s) responsible for these functions

# Benefits

- Increase efficiency of office operations:
  - Reduces the volume of records stored
  - Helps employees locate what they need
  - Improves storage and retrieval systems
- Reduce costs for equipment, space, and personnel
- Improve government accountability
- Help employees respond to FOI requests
- Protect the municipality in the event of:
  - Legal action
  - Disaster

# Benefits

Before



After



Name	Size	Type
o8877	3,127 KB	Adobe Acrobat Document
o882501	391 KB	Adobe Acrobat Document
o1708801	1,619 KB	Adobe Acrobat Document
o1873310	2,111 KB	Adobe Acrobat Document
o2123261	1,678 KB	Adobe Acrobat Document
o2129235	474 KB	Adobe Acrobat Document
o2129264	1,233 KB	Adobe Acrobat Document
o3025329	1,867 KB	Adobe Acrobat Document
o3599658	2,621 KB	Adobe Acrobat Document
o3814068	2,364 KB	Adobe Acrobat Document
o3915974	2,452 KB	Adobe Acrobat Document
o3918429	2,585 KB	Adobe Acrobat Document
o4048758	2,413 KB	Adobe Acrobat Document
o4752975	2,008 KB	Adobe Acrobat Document
o5836005	948 KB	Adobe Acrobat Document
o9243794	1,746 KB	Adobe Acrobat Document
o9259190	3,261 KB	Adobe Acrobat Document
o9267119	1,762 KB	Adobe Acrobat Document
o11426903	811 KB	Adobe Acrobat Document
o12698499	3,211 KB	Adobe Acrobat Document
o14186821	1,168 KB	Adobe Acrobat Document
o14745883	1,483 KB	Adobe Acrobat Document
o14871493	3,908 KB	Adobe Acrobat Document
o17511565	950 KB	Adobe Acrobat Document
o18480618	2,390 KB	Adobe Acrobat Document
o18911647	2,033 KB	Adobe Acrobat Document
o18955068	5,762 KB	Adobe Acrobat Document
o22249712	1,156 KB	Adobe Acrobat Document
o24597465	3,287 KB	Adobe Acrobat Document
o24993001	417 KB	Adobe Acrobat Document
o25042686	1,526 KB	Adobe Acrobat Document
o34091490	235 KB	Adobe Acrobat Document
o34673293	591 KB	Adobe Acrobat Document
o35023951	6,367 KB	Adobe Acrobat Document
o39869068	6,919 KB	Adobe Acrobat Document
o41341368	188 KB	Adobe Acrobat Document
o41342030	281 KB	Adobe Acrobat Document
o42418957	795 KB	Adobe Acrobat Document
o44114847	1,888 KB	Adobe Acrobat Document
o44512457	803 KB	Adobe Acrobat Document
o44566118	1,337 KB	Adobe Acrobat Document
o44886813	84 KB	Adobe Acrobat Document
o47259507	2,796 KB	Adobe Acrobat Document
o50131178	434 KB	Adobe Acrobat Document
o50145988	858 KB	Adobe Acrobat Document
o50153767	893 KB	Adobe Acrobat Document
o51071319	159 KB	Adobe Acrobat Document
o51464213	253 KB	Adobe Acrobat Document
o52329873	822 KB	Adobe Acrobat Document



- Messa... | Docume... | Microsof... | Links an..

# Statutory Requirements

- Municipal Records Management Program
- Records Defined
- Records Maintenance
- Storage of Municipal Records
- Disposition of Municipal Records
- Unlawful Removal or Alteration of Records

# Municipal Responsibilities

- Inventory records
- Obtain authorization to dispose of records
- Destroy records by appropriate method
- Transfer historical records to the State Archives or another approved archival facility



# Employee Responsibilities

- Be familiar with records management requirements
  - Public Records Policy 05
  - Records Retention Schedules
- Retain records until eligible for disposition
- Ensure records are properly disposed after receiving authorization



# Agenda

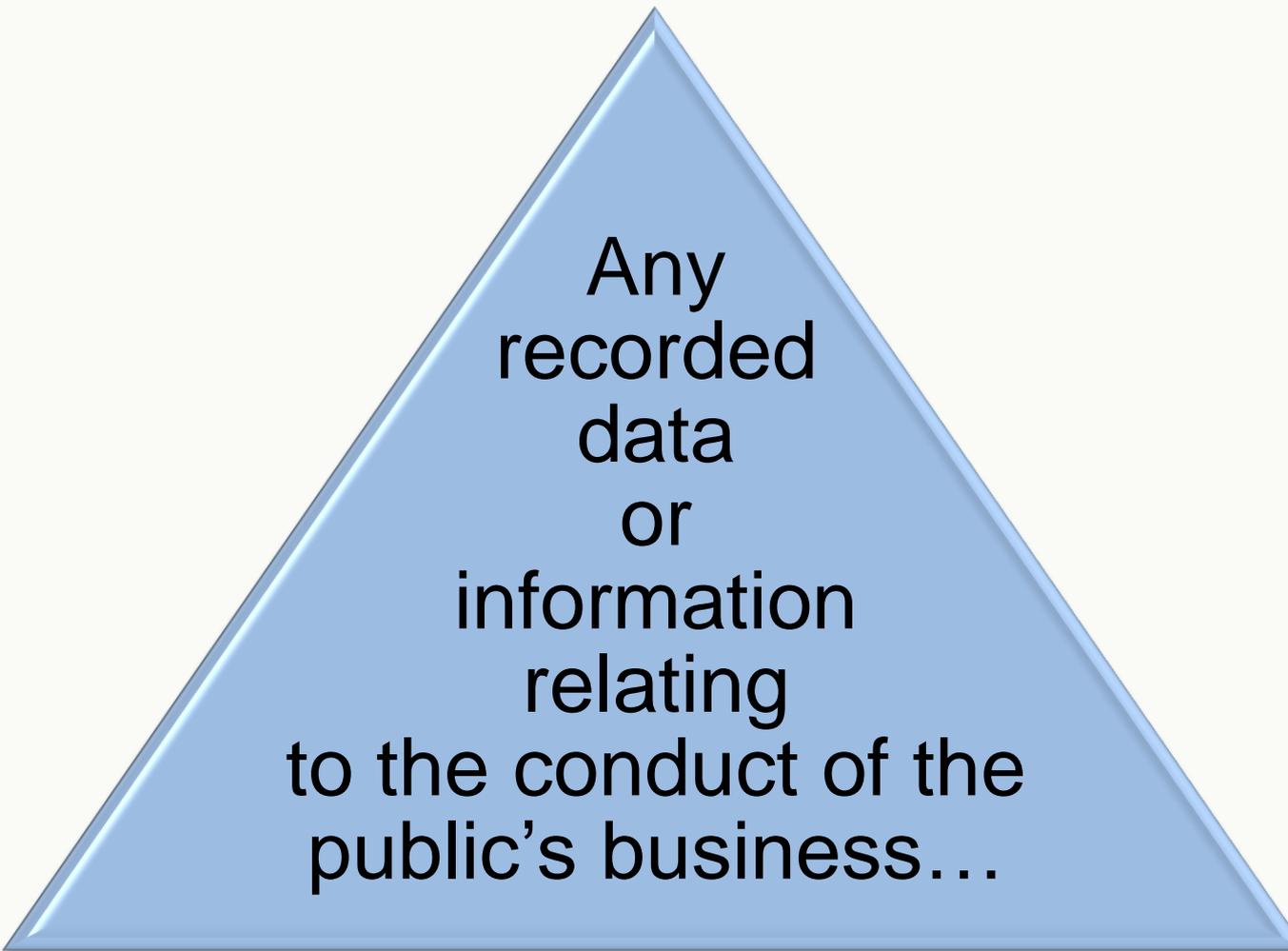
- Statutory Requirements & Responsibilities
- Records Management Concepts
- Records Retention & Disposition
- Managing Records

# What is a record?

- Relates to business activities
- Recorded in any format
- Characteristics:
  - Authentic
  - Complete and Unaltered
  - Reliable
  - Usable

# Public Records: Definition

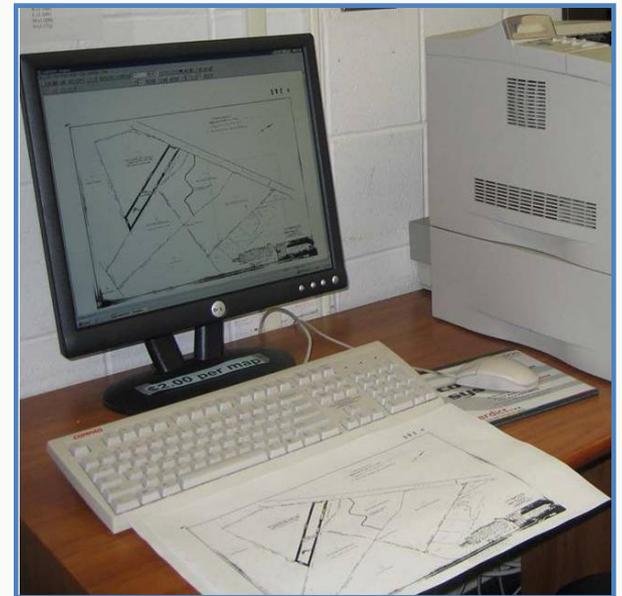
CGS Section 1-200 (5) -- *Excerpt:*



Any  
recorded  
data  
or  
information  
relating  
to the conduct of the  
public's business...

# Official Record Copy

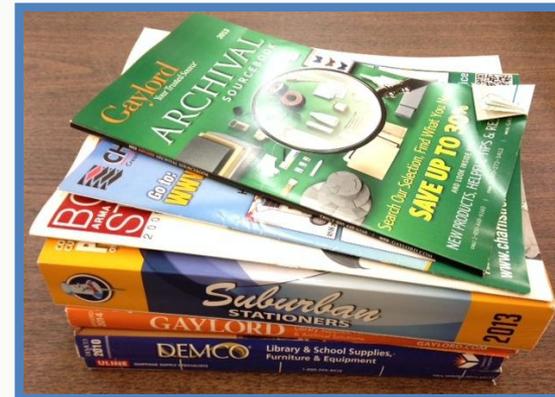
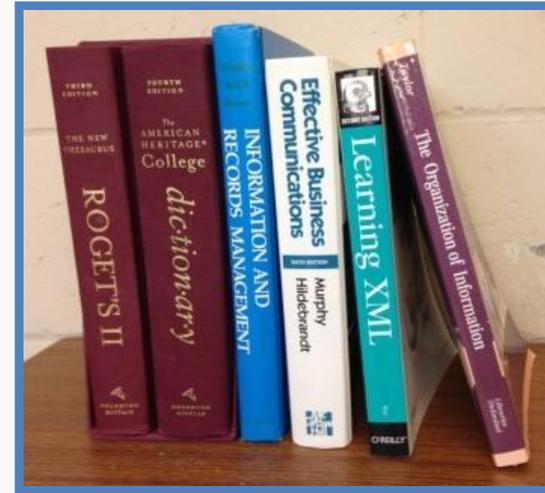
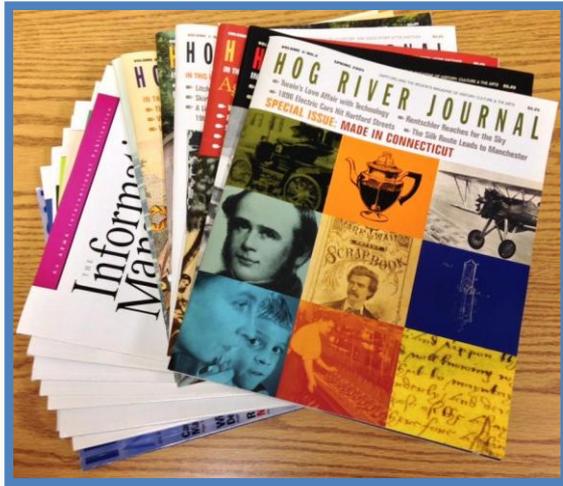
- Specific copy of a record designated by the agency as the legally recognized copy
- Maintained for retention, preservation and authentication purposes



# Records Custodian

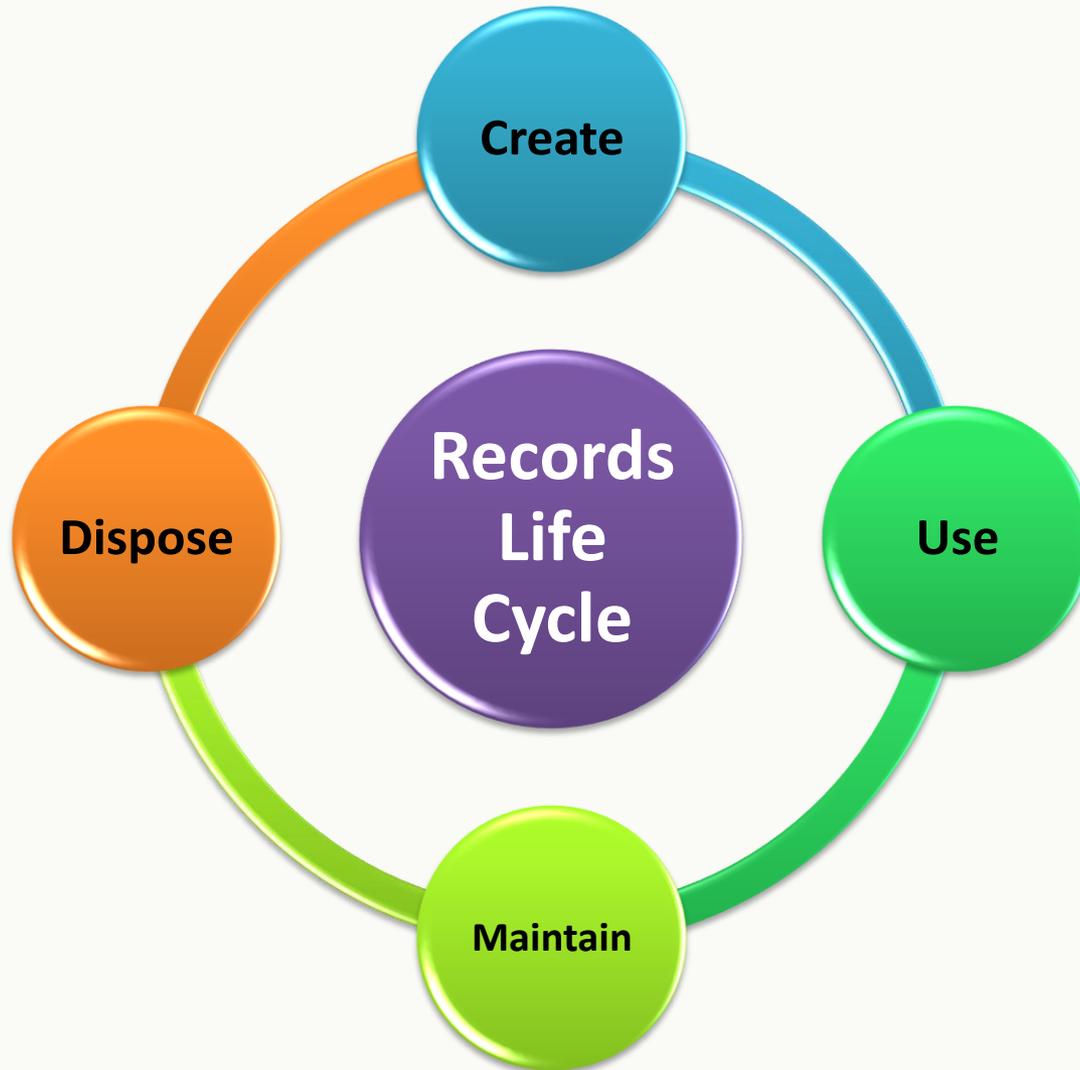
- **Responsible** for the direct **custody and care** of a public record in the course of normal business
- May or may not be the records creator

# Non-Records



- Includes duplicate (convenience) copies of the official record copy; and materials that do not document the agency's work

# Life Cycle of Records



# Retention Schedule

- Comprehensive listing of **records series**
- Specifies:
  - **Minimum Retention Period**
  - **Disposition**

# Records Series

- A record series can include several types of related records that are filed and used together



# Retention Period

Length of time

- *Ex:* 3 years from fiscal year end

Kept in a certain location or form

- *Ex:* Electronic file in the accounting system

For administrative, legal, fiscal, historical, or other purposes

- *Ex:* Time period based on specific operational and fiscal needs

# Retention Period:

## Determining Factors

### ■ Value

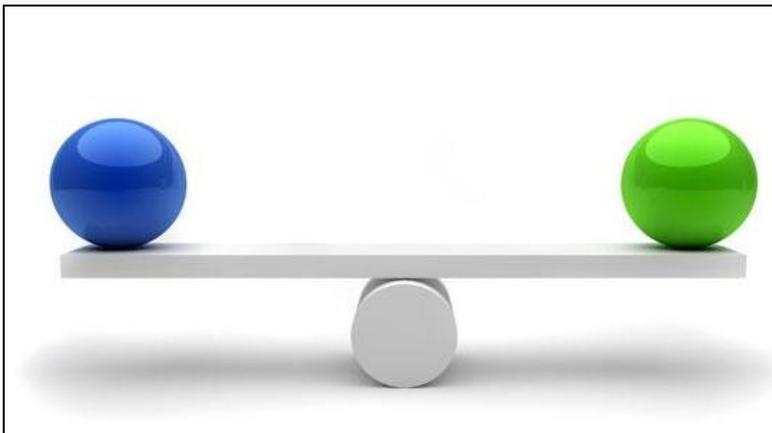
- Administrative
- Legal
- Fiscal
- Historical / Research

### ■ Legal Requirements

- Laws and regulations
- Statutes of limitation

### ■ Audit Requirements

- State or federal fiscal audits
- Other internal audits



# Records Schedule Facts

- No requirement to **create** a record just because it's shown on a schedule
- If the agency has records **not** shown on a schedule, cannot dispose – contact our office for assistance
- Schedules do not give authority to dispose of listed records – obtain **authorization** in advance (Form RC-075)

# Agenda

- Statutory Requirements & Responsibilities
- Records Management Concepts
- Records Retention & Disposition
- Managing Records

# <https://ctstatelibrary.org/>



- HOME
- ABOUT
- DEPARTMENTS
- COLLECTIONS
- RESEARCH
- NEWS
- CONTACT
- Q

Search

- ▶ Our Catalog
- ▶ Articles (ICONN)
- ▶ Digital Collections
- ▶ State Library Websites

How to ...

- ▶ Find Hours and Locations – All Facilities
- ▶ Visit the State Library in Hartford
- ▶ Ask for Research Assistance
- ▶ Get a Library Card, Use or Borrow Materials
- ▶ Research History and Genealogy
- ▶ Find Retention Schedules
- ▶ View Upcoming Events

## Welcome to the Connecticut State Library

### ◦ Welcome to the State Library's New Website

#### Department Links

- Library for the Blind  
Museum
- Public Records Administration
- Reference Services
- Services to Libraries
- State Archives

#### Audience Links

- Historians & Genealogists
- Legal Researchers
- Librarians
- Library for the Blind Users
- Local Government
- State Agencies



#### State Library News:

- BARD Mobile Android App Now Available
- CT Digital Newspaper Project Digitizes Bridgeport Evening Farmer, 1910-1916
- New & Noteworthy – Racial and Ethnic Health Disparities: Workforce Diversity
- Talk That Music Talk
- Electronic Records Day





## Public Records

- ▶ [Public Records Home](#)
- ▶ [Municipal Records Management Program](#)
  - ▶ [Records Retention Schedules](#)
  - ▶ [Historic Documents Preservation Program](#)
- ▶ [State Records Management Program](#)
  - ▶ [General Records Retention Schedules](#)
  - ▶ [Agency Specific Records Retention Schedules](#)
  - ▶ [State Records Center Facility](#)
- ▶ [Essential Records Program](#)

## Office of the Public Records Administrator

Pursuant to the Connecticut General Statutes § 11-8(a), the Office of the Public Records Administrator [OPRA] is responsible for the design and implementation of a records management program for all state agencies within the executive department as well as for certain quasi-public agencies, and the towns, cities, boroughs, districts, and other political subdivisions of the state.

This includes:

- overseeing the life cycle of public records in both paper and electronic forms including creation, use, maintenance and disposition;
- publishing records retention schedules;
- keeping state and local government agencies informed about current records management issues and requirements through publication of manuals, policies, and guidelines;
- developing standards for records creation in paper and electronic formats;
- overseeing the disposition of all public records;
- identifying and preserving records essential for the continuity of government operations during or immediately following a disaster or emergency situation;
- publishing regulations regarding the construction of town record storage vaults; the creation of permanent land maps filed with town clerks; and real property electronic recording;
- conducting the annual examination of land record indexes;
- administering a grant program to municipalities to enhance or improve the preservation and management of local historic documents.

LeAnn Power is the Public Records Administrator.

Phone Number: 860-757-6540

Fax Number: 860-757-6542

## General Retention Schedules for Municipalities

M1 - General Administration Records (02/2005)

M2 - Personnel/Labor Relations Records (02/2005)

M3 - Fiscal Records (02/2005)

M4 - Taxation - Assessment/Collection Records (05/2012)

M5 - Town Clerks and Registrars of Vital Statistics Records (02/2005)

M6 - Electors and Elections Records (09/2011)

M7 - Public Safety and Emergency Services Records (11/2012)

M8 - Education Records (2/2005)

M9 - Public Works Records (02/2005)

M10 - Land Use and Development Records (02/2005)

M11 - Library, Museum, Special Collection, Archival Records (11/2013)

M12 - Health Departments/Districts/Clinics Records (02/2005)

M13 - Human Services/Social Services/General Assistance Records (02/2005)

M14 - Parks and Recreation Records (02/2005)

M15 - Locally Owned Utilities/Regional Authorities (02/2005)

M15.1 - Connecticut Municipal Electric Energy Cooperative (CMEEC) (12/2014)

M16 - Electronic Data Processing Records (02/2005)

# Older Format

**Municipal Records Retention Schedule M1  
GENERAL ADMINISTRATION**

<b>Item Number</b>	<b>Record Series Title</b>	<b>Minimum Retention Required</b>	<b>Disposition</b>
	<b>Accident Records</b>		
(M7-295)	a. Fatal	permanent	maintain in municipality
(M7-300)	b. Non-fatal	10 years ( <i>CGS</i> Sec. 7-282)	destroy <sup>1</sup>
M1-010	<b>Alarm System Activity Reports</b>	current plus 1 year	destroy <sup>1</sup>
	<b>Bonds:</b>		
M1-020	a. Fidelity	6 years after expiration	destroy <sup>1</sup>
M1-025	b. Performance, includes excavation	6 years after completion of project	destroy <sup>1</sup>
M1-030	c. Surety	6 years after completion of project	destroy <sup>1</sup>
(M3-105)	<b>Budget, adopted</b>	permanent	maintain in municipality
	<b>Calendars</b>		
M1-040	a. Official Appointment: in electronic or paper format	2 years	destroy <sup>1</sup>
M1-045	b. Desk calendars	1 year	destroy <sup>1</sup>
M1-047	c. Elected officials	Term of office, plus 2 years	destroy <sup>1</sup>
M1-050	<b>Communications/Public Relations</b> (includes speeches, press releases, remarks)	2 years	destroy <sup>1</sup>
M1-055	<b>Complaints</b>	2 years after resolution	destroy <sup>1</sup>

# Revised Format

## 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.cslib.org/publicrecords](http://www.cslib.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. **SUPERSEDENCE:** 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, 3<sup>rd</sup> 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*, 3<sup>rd</sup> 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*, 3<sup>rd</sup> 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.

# How to Read a Schedule

## Schedule M7 – Public Safety and Emergency Services Records, Page 3 of 18

Erasure encompasses only those records which refer to a formal criminal charge; i.e. an arrest and/or prosecution. Erasure does not encompass records and other by-products of law enforcement investigations created prior to a formal criminal charge – i.e. statements, reports, and intelligence. Erasure also does not encompass records generated after the filing of a formal charge, which do not contain a reference to the charge such as mug shots and fingerprints. Lastly, witness statements or other instances of personal knowledge, recollections and memories of events are never subject to erasure.

Other questions concerning erased records are too extensive to be repeated here. Guidance on this subject may be obtained in the manual *Dissemination and Maintenance of Criminal Records*, which may be obtained from the Office of the Chief State's Attorney.

13. **CASE INVESTIGATION RECORDS:** Case investigation records include, but are not limited to: prisoner property sheets, arrest and booking sheets, tapes and reports, evidence logs, related field notes, property records, witness statements, Connecticut On-Line Law Enforcement Communications Teleprocessing System (COLLECT) print outs, court bond receipts, bond forms and laboratory reports.

### SECTIONS

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>A. ADMINISTRATIVE RECORDS</li> <li>B. ANIMAL CONTROL OFFICER RECORDS</li> <li>C. CALLS FOR SERVICE RECORDS</li> <li>D. COURT ISSUED RECORDS</li> <li>E. FIRE DEPARTMENT/ FIRE MARSHAL RECORDS</li> </ul> | <ul style="list-style-type: none"> <li>F. FIREARMS / DANGEROUS WEAPONS RECORDS</li> <li>G. HOLDING FACILITIES (LOCK-UPS / JAILS) RECORDS</li> <li>H. PUBLIC SAFETY RECORDS</li> <li>I. PUBLIC SAFETY PERSONNEL RECORDS</li> <li>J. VEHICLE LAW ENFORCEMENT RECORDS</li> </ul> |
|---|---|

Item #	Record Series Title	Description	Minimum Retention	Disposition	Notes
<b>A.</b>	<b>ADMINISTRATIVE RECORDS</b>				
<b>M7-010</b>	<b>Accreditation Files</b>	This series documents the accreditation process from accrediting and regulatory bodies. Including but not limited to: data, correspondence, other supporting documentation, reports received from study committees of accreditation associations and suggestions and recommendations concerning organizational structure and administration.	3 years from date accreditation granted, or until next accreditation, whichever is later	Destroy after receipt of signed Form RC-075	In accordance with Commission on Accreditation for Law Enforcement Agencies (CALEA) requirements.
<b>M7-020</b>	<b>Alarm Records – Alarm Response Worksheet / Reports</b>	Consists of worksheets and reports for alarm response when no investigation is necessary.	Current year plus 1 year	Destroy after receipt of signed Form RC-075	See Schedule M3 for billing for false alarm fines.
<b>M7-030</b>	<b>Alarm Records – Alarm System Registrations</b>	Consists of registration forms and other related documents, if any, for both residential and business alarm systems.	1 year after system deactivated or registration renewed	Destroy after receipt of signed Form RC-075	Paper registration form may be retained at the discretion of the department after data entered into system.

# How to Read a Schedule

## State of Connecticut Records Retention Schedule M6: Electors and Elections Records (Revised: 09/2011), Page 5 of 13

Series #	Records Series Title	Description	Retention	Disposition	Notes
M6-110	Monthly Change Detail Reports	<i>[OBSOLETE]</i> Consists of, but not limited to name; former name; address; former address; voting district and party affiliation, if any, for all persons added, restored, removed or erased from the active and inactive registry lists during the preceding month; all electors who changed their names or addresses during that period; and all electors sent notices required under the National Voter Registration Act of 1993 (NVRA).	2 years	Destroy after receipt of signed Form RC-075	CGS §9-50a; Public Act 11-173 removed the requirement to maintain these reports.
M6-120	Motor Vehicle Monthly Change of Address List	List of individuals who checked off the voter registration section on driver's license or motor vehicle registration.	2 years [42 USC 20 §1973gg-6(i) (National Voter Registration Act of 1993)]	Destroy after receipt of signed Form RC-075	CGS §9-35(c).
(M6-460)	Petition for Call to Amend Town Party Rules	Petition for caucus or convention to amend existing party rules.	3 years	Destroy after receipt of signed Form RC-075	CGS §9-375. See M6-500 for Town Party Records including rules.
M6-130	Polling Place Officials, List of	List of workers, certified and signed by the registrar, for both general and primary elections. Includes oaths.	14 days after election, if not contested	Destroy after receipt of signed Form RC-075	CGS §9-258 and §9-436. If attached to moderator's return, retain for same period as the return.
M6-140	Registry List – Final and Supplementary – Registrar's Copy	List of registered voters.	2 years [CGS §9-39]	Destroy after receipt of signed Form RC-075	See M6-490 for Town Clerk's requirements.
M6-150	Registry List – Preliminary – Registrar's Copy	<i>[OBSOLETE]</i> List of registered voters.	Until printing of new preliminary list (retain 2 copies of current list)	Destroy	CGS §9-37. Public Act 11-173 removed the requirement to maintain this list. See M6-500 for Town Clerk's requirements.

**State of Connecticut Records Retention Schedule M11  
Library, Museum, Special Collection, and Archival Records (11/2013), Page 4 of 10**

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	<b>ESSENTIAL RECORD</b>  See <i>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	<b>[OBSOLETE]</b> 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)]

# Educational Records

- Disposition of Education Records
- Special Education Records
- Regional Education Service Centers (RESCs) and Approved Private Special Education Programs (APSEPs)

# Records Disposition

- Disposition of records refers to either:
  - **Destruction** of records
  - **Transfer** of records



# Destruction Procedures

- Refer to *Public Records Policy 5: Disposition of Public Records*
- Determine which records are eligible for destruction
- Obtain authorization to destroy public records by submitting a Records Disposition Authorization Form (RC-075)



# Form RC-075

<https://ctstatelibrary.org>

## RECORDS DISPOSITION AUTHORIZATION

Connecticut Towns, Municipalities, and Boards of Education

Form RC-075 (Revised 01/2010)



STATE OF CONNECTICUT

Connecticut State Library

Office of the Public Records Administrator

231 Capitol Avenue, Hartford, CT 06106

### INSTRUCTIONS:

1. Use this form to obtain approval for disposition (destruction or transfer) of public records pursuant to CGS §7-109.
2. If this form is used for educational records, please ensure that the Superintendent of Schools reviews and signs the form.
3. If necessary, use additional forms. Each form must be signed. Please fill-out the form completely and legibly and submit to the above-listed address at least 20 days prior to the proposed date of disposition.
4. **Volume of Records:** Letter-size drawer = 1.54 cubic ft. / Legal-size drawer = 2.0 cubic ft. / Record carton (standard banker's box) = 1.0 cubic ft
5. After receiving approval, the original signed form must be retained in the Office of the Town Clerk. The originator of this form (custodian of the record) may keep a duplicate copy. Records that cannot be destroyed have been so noted.

LOCAL GOVERNMENT ENTITY: Booth & Dimock Memorial Library		DATE: 8/10/2012	
CUSTODIAN OF RECORDS: Amy Dexter		PHONE: 860-742-7606	
ADDRESS (form will be returned to this address): 1134 Main Street, Coventry, CT 06238			
I hereby certify that the records listed below have met the retention requirements established by the Office of the Public Records Administrator in the form of approved records retention schedules. No records listed, in our opinion, pertain to any pending case, claim, or action.			
GOVERNMENT AUTHORIZATION	CUSTODIAN OF RECORD (type or print): Amy Dexter	SIGNATURE (Custodian of Record): <i>Amy Dexter</i>	DATE: 8/10/12
	HEAD OF MUNICIPALITY (type or print): John A. Elsesser, Town Manager	SIGNATURE (Head of Municipality): <i>John A. Elsesser</i>	DATE: 8/10/12
EDUCATION AUTHORIZATION	SUPERINTENDENT OF SCHOOLS (type or print):	SIGNATURE (Superintendent of Schools):	DATE:

SCHEDULE & SERIES # (e.g., M2-030)	RECORDS SERIES TITLE	INCLUSIVE DATES OF RECORDS		VOLUME OF RECORDS (indicate cubic ft.)	PROPOSED DATE OF DISPOSITION
		FROM	THRU		
1. M2-030	Applications for employment incl seasonal	01/01/2017	6/2/31/2017 *	.15	
2. M2-160	Leave requests, supervisor's copy	01/01/2017	12/31/2017 ✓	4.5	
3. M3-145	Cash register, receipts	01/01/2015	12/31/2015 ✓	1.54	
4. M3-290	Purchase orders	01/01/2015	12/31/2015 ✓	1.54	
5. M3-435	Time records	01/01/2015	12/31/2015 ✓	2.5	
6. M11-030	Facilities use records	01/01/2017	12/31/2015 ✓	.03	
7. M11-120	Usage statistics	01/01/2017	12/31/2018 *	.15	
8. M11-150	Connecticard Transaction Records	01/01/2015	12/31/2015 ✓	.15	
9.					
10.					
11.					
12.					
13.					
14.					

PUBLIC RECORDS AUTHORIZATION	APPROVED (Public Records Administrator): <i>De Ann RP Burkhardt</i>	DATE: JUL 19 2019
	APPROVED (State Archivist): <i>Kimberly Purdie</i>	DATE: JUL 19 2019

PUBLIC RECORDS NOTES:  
 # 1 all to destroy through 6/2017 only. Must retain 2 years.  
 # 7 all to destroy through 6/2018 only. Must retain 1yr from end of year to which record relates.

# Records Destruction

- Destroy records in a **timely manner**
- Utilize a method that ensures the total destruction of the record:
  - Hard copy formats
    - Shred with a cross cut shredder
    - Recycle after shredding, if possible
  - Electronic media
    - National Institute of Standards and Technology (NIST) *Special Publication 800-88*
    - i.e. Clear, Purge, Destroy
- Document the destruction
  - Certificate of Destruction



# Agenda

- Statutory Requirements & Responsibilities
- Records Management Concepts
- Records Retention & Disposition
- Managing Records

# Managing Records

- **Part of routine business operations**
- **Standardized filing system**
  - Same organization for paper and electronic records
- **Centralized filing system**
  - Departmental files – all available in central location
  - Individual files – for working files and reference copies



# Managing Records

- The **same** records management principles apply to **electronic records** and **paper records**
- The informational **content** - not format - determines:
  - Record vs. non-record
  - Records series
  - Retention requirements



# Managing Electronic Records: Challenges and Issues

- Authenticity
- Integrity
- Security
- Sustainability
- Active Management



# Types of Electronic Records

- Born digital
- Scanned from hard copy; ie, digital images



# Digital Imaging (Scanning)

- *Public Records Policy 02: Digital Imaging*
- *Digital Imaging Standards*
- Disposition of Paper Copies:
  - Less than permanent retention
  - Approval Required: Use Form RC-075.1



# Digital Imaging (Scanning)

- Costs
- Access
- Format requirements
- Indexing
- Retention and disposition
- Storage and backup
- Active management



# Managing Email as a Public Record

- Email messages **sent or received** in the conduct of the **public's business** are **public records** and subject to **disclosure and discovery** (CGS § 1-200(b))
- Do not use private email accounts to conduct public business



# Managing Email as a Public Record

- Email should be treated as a **form of correspondence**
  - Schedule M1: General Administrative Records
  - *General Letter #2009-2: “Management and Retention of Email and other Electronic Messages”*
- **Disposal** of public records **requires approval**



# Managing Email as a Public Record

## Category

- Related to specific programs or functions
- Routine
- Transitory

## Retention Requirement

- Follow retention of records series that documents specific agency functions or programs
- 2 years
- No requirement

# Managing Email as a Public Record

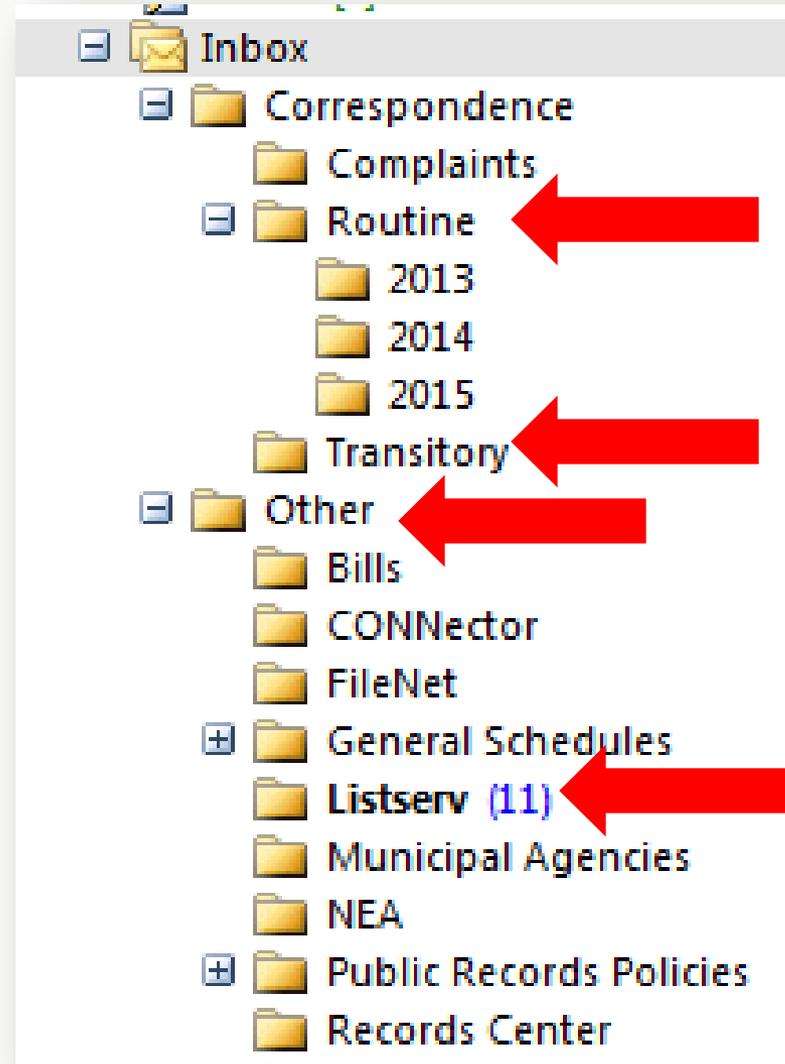
- Transitory Email
  - “*Cookies in the break room*”
  - Routine traffic or weather alerts
  - Personnel reminders
    - Benefits, open enrollment, etc.
  - External listserv messages
  - CC or BC, no action required



# Organizing Your Inbox

- Create folders in your inbox
  - Place the new folder under your “Inbox” folder
  - Use descriptive folder names
  - Move and keep all related messages in the appropriate folder
- Create folder names that mirror office filing system for paper files
- Requires less effort and improves access

# Organizing Your Inbox

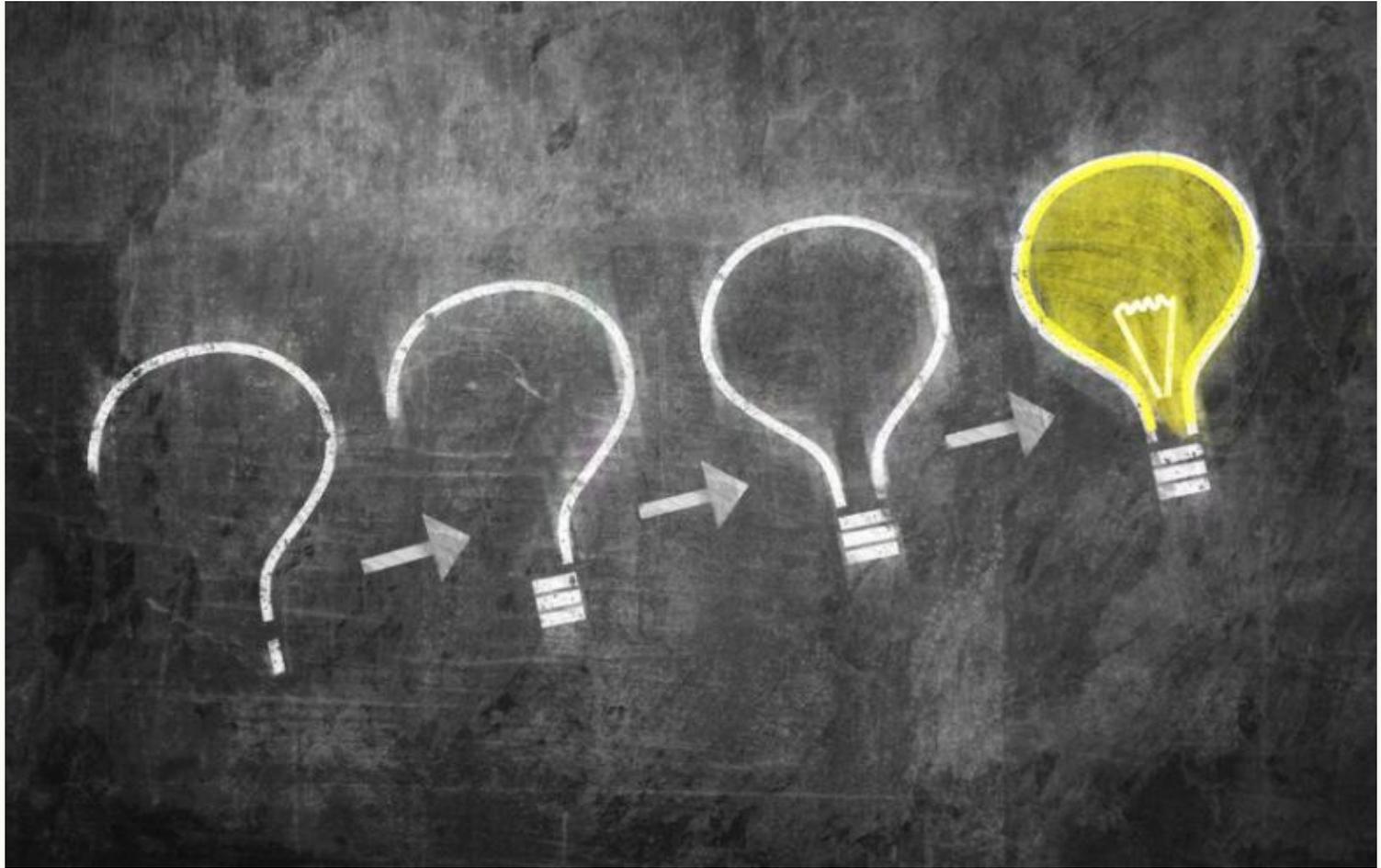


# Best Practices: Writing and Sending Email

- Do you need to use email?
- Subject lines
- Attachments vs. links
- Copy and forward sparingly



# Q & A



# Contact Information

**LeAnn Burbank, CRM, Public Records Administrator**

(860) 757-6540

[leann.burbank@ct.gov](mailto:leann.burbank@ct.gov)

**Kathy Makover, Field Archivist**

(860) 566-1100 Ext. 303

[kathy.makover@ct.gov](mailto:kathy.makover@ct.gov)

**Elise Marzik, Electronic Records Analyst**

(860) 757-6513

[elise.marzik@ct.gov](mailto:elise.marzik@ct.gov)

**Connecticut State Library  
Office of the Public Records Administrator**

***Municipal Records Management Program:***

<https://ctstatelibrary.org/publicrecords/municipal>