


RIM 101: Introduction to Records Management

Southern Connecticut State University

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Presented by the Office of the Public Records Administrator
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Presenters

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Agenda

- Records Management in Connecticut
- Components of a Records Management Program
- Electronic Records and Managing E-mail
- Records Storage and Disposition

We will help you go from this...



To this.




Background of Public Records

- 1903: The first "Temporary Examiner of Public Records" appointed by the Connecticut General Assembly
- 1911: The General Assembly creates the post of permanent "Examiner of Public Records" as assistant to the State Librarian
- 1956: The first state records retention, storage, and disposal program for state agencies is established
- 1958: The State Records Center is opened
- 1967: The position of "Examiner of Public Records" is renamed to "Public Records Administrator"


Records Management in Connecticut

- The Connecticut State Library is the public records office for the State of Connecticut
- Connecticut General Statutes §11-8 and §11-8a grants authority for this program to the Connecticut State Library

Statutory Responsibilities: Connecticut State Library 

(Pursuant to CGS §11-8)

- Directs a records management program for state and municipal government
- Approves and/or operate records storage facilities (State Records Center)
- Identifies and preserves essential state records (State Archives)

Statutory Responsibilities: State Agencies 

(Pursuant to CGS §11-8a)

- Designate an agency employee to serve as Records Management Liaison Officer (RMLO)
- Inventory records
- Keep records retention schedules up-to-date
- Transfer historical records to the State Archives
- Dispose of records *after* written approval is granted

Records Management Liaison Officer (RMLO)

- Creates guidelines for maintaining and using agency records
- Inventories or supervises an agency records inventory
- Prepares and submits agency records retention schedules to the Office of the Public Records Administrator
- Reviews agency disposal authorizations and obtains approval to dispose of records

Records Management Liaison Officer (RMLO) (Cont.)

- Transfers inactive records to the State Records Center or off-site records storage facility
- Coordinates the implementation of records technology
- Maintains a control file of records retention schedules, disposal authorizations, and record transfers
- Disseminates records management information to agency personnel
- Appoints Assistant RMLOs

Records Management Liaison Officer (RMLO) (Cont.)

- Carol Wallace
Administrative Support Services
(203) 392-5453
- Philanthi Koslowski
Administrative Support Services
(203) 392-6205

Assistant RMLOs

- Provide assistance to the RMLO in the following areas:
 - Conducting records inventories
 - Writing / revising records retention schedules
 - Disseminating information to co-workers
 - Completing *Records Disposal Authorizations* (Form RC-108)



Records Management

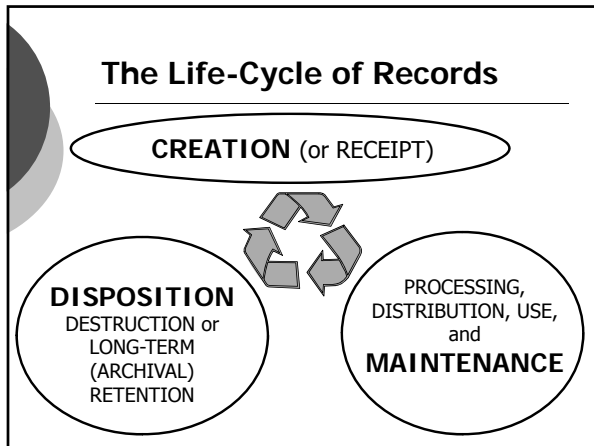
Records Management is the "field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form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

*ISO 15489-1, "Information and documentation – Records management," 2001.

The Life-Cycle of Records

- **Active:** Office
- **Semi-active:** In a records center or low activity storage facility
- **Permanent:** Office or an archival facility

If records have **no** permanent value, they may be destroyed **after** an agency receives signed *Records Disposal Authorization* (Form RC-108).



Public Records

CGS §1-200(5) defines **Public Records** as “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.”

Non-Records

Non-Records have the same physical characteristics as record materials. The differences between a non-record and a record are:

- The reasons for keeping the information
- How it is used

Records Series

A **Records Series** is "a group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity."^{*}

All of the records that make up a records series must have the same retention period.

^{*}"A Glossary of Archival and Records Terminology," Society of American Archivists, Pearce-Moses, Richard, 2005.

Records Retention Schedule

A **Records Retention Schedule** is a comprehensive list of records series which indicates the length of time each series is to be retained until it is reviewed for destruction or archival retention.

It also indicates retention in active and inactive storage areas.

Records Retention Schedules: General vs. Agency-Specific

A **General Records Retention Schedule** lists records series titles, by subject or function, that apply to all agencies.

An **Agency-Specific Records Retention Schedule** lists those records series titles that are unique to that agency, or individual departments and units, within the agency.

Records Retention Schedules: General vs. Agency-Specific (Cont.)

- S1: Administrative Records
- S2: Personnel Records
- S3: Fiscal Records
- S4: Health Information Management Records
- S5: Higher Education Records (new revision July 2009)
- S6: Electronic Data Processing Records
- S7: Vocational-Technical School System Records
- S8: Correctional Facilities Records
- S9: Libraries, Archives, and Museums Records (under development)
- S10: Public Safety and Emergency Services Records (under development)

General Records Retention Schedule (S1)

Schedule S1 - Administrative Records, p. 1

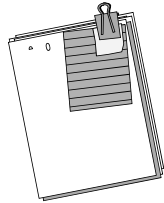
Item Number	Record Series Title	Minimum Retention Required	Disposition
51-010	Accident Records	10 years from date of accident	destroy ²
51-020	Alarm System Activity Reports	current plus 1 year	destroy ²
51-030	Assess reports—revised copy	Permanent/Archival	permanent/archival ²
Calendars			
51-040	a. Desk calendars	1 year	destroy ²
51-045	b. Official appointment in electronic or paper format	2 years	destroy ²
51-055	Communications: Public Relations (includes speeches, press releases, records)	4 years	destroy ²
Correspondence (Electronic or paper format)			
51-065	a. Routine ³	2 years	destroy ²
51-070	b. Policy (including legal opinions)	Permanent/Archival	permanent/archival ²
Disaster Recovery Records			
51-080	a. Disaster Plan ⁴	Until superseded	destroy ²
51-085	b. Records that would document any disaster recovery activity	Permanent	maintain in agency
Disposal requests			
51-095	a. RC-108 (Disposal authorization)	Permanent	maintain in agency

www.cslib.org



Components of a Records Management Program

- Records Inventory
- Records Retention Schedules
- Approvals
- Compliance



Records Inventory

The records inventory is the starting point for data collection. The records inventory should include the following information on the records:

- Description
- Arrangement
(e.g., by date, by subject, or by physical format)
- Date range
- Format
- Original vs. duplicate



The inventory should include offices...



Hallways...



Attics, and any other location.



Records Analysis

Records Analysis is the process of evaluating the data acquired from the inventory to:

- Determine the records series
 - Records used together to perform a function
 - Filed together as a unit (paper)
- Establish uniform records series titles



Records Retention Schedules: Determining the Retention Period

- A records retention schedule sets the minimum retention requirements
- A records retention schedule does not mandate records destruction
- If a record is not on an approved records retention schedule, an agency **cannot** dispose of the record

Records Retention Values

Determine Value:

- Administrative
- Legal
- Fiscal
- Historical / Research



Records Retention Values (Cont.)

- **Administrative value:** How long do I need to keep this record to do my job and for the agency to operate effectively?
- **Legal value:** How long do I need to keep these records as evidence of legally enforceable rights of the State or the rights of individuals?

Records Retention Values

(Cont.)

- **Fiscal value:** How long do these records relate to the agency's financial transactions?
- **Historical / Research value:** Have these records been appraised to have long-term value?



Requirements that Govern the Retention of Records

- **Fiscal / Audit Requirements**
 - Requirements apply to state and federal audits
- **Legal Requirements**
 - Laws and Regulations (e.g. FERPA)
 - Statutes of Limitation (please note there is no universal statute of limitation that governs the retention of all records)

Family Educational Rights and Privacy Act (FERPA)

- Pursuant to 20 USC §1232(g) and 34 CFR §99, education records are defined as "those records that are (1) directly related to a student and (2) maintained by an educational agency or institution or by a party acting for the agency or institution"
- Almost any record about a student must be handled in compliance with FERPA
- Whenever the recommended retention period is the life of the affected record, the retention period of the FERPA document is meant to be the same as that of the student record to which it pertains (e.g. If a record to which a FERPA document pertains is permanent, the FERPA document should also be retained permanently)

**Records Retention Schedules:
Applying Schedules**

- If you identify records that are not on a records retention schedule:
 - Contact your RMLO
 - Your RMLO will then work with the Office of the Public Records Administrator to determine where the records series belongs

**Results of Applying Records
Retention Schedules**

According to many studies:

- 40% of records can be destroyed
- 25% of records can be transferred to a records center
- 30% of records remain in the office
- 5% of records are archival

Electronic Records

- Connecticut Uniform Electronic Transactions Act (CGS §1-266 to 1-286)
 - Defines “electronic record,” to include e-mail
 - Regulates electronic transactions and signatures
 - Extends the authority of the Public Records Administrator to include electronic records

**Electronic Records:
Definitions**

- CGS §1-267 (7) "Electronic record means a record created, generated, sent, communicated, received or stored by electronic means, including, but not limited to, facsimiles, electronic mail, telexes and Internet messaging."
- CGS §1-267 (8) "Electronic signature means an electronic sound, symbol or process attached to or logically associated with a record and executed or adopted by a person with the intent to sign the record."

**Electronic Records:
Definitions (Cont.)**

- CGS §1-282. "Creation and retention of electronic records and conversion of written records by governmental agencies. Except as otherwise required by the State Librarian or the Public Records Administrator in accordance with sections 11-8 and 11- 8a, each governmental agency in this state shall determine whether, and the extent to which, it will create and retain electronic records and convert written records to electronic records."

**Electronic Records:
Definitions (Cont.)**

- CGS §1-283. "Acceptance and distribution of electronic records by governmental agencies. Interoperability. Regulations. (a) Except as otherwise provided in subsection (f) of section 1-277, each governmental agency in this state shall determine whether, and the extent to which, it will send and accept electronic records and electronic signatures to and from other persons and otherwise create, generate, communicate, store, process, use and rely upon electronic records and electronic signatures."

Managing Electronic Records

- The same records management principles apply to electronic records as paper records
- The content of the record determines whether or not it is a record, what records series it belongs to, and how long it should be retained

Managing Electronic Records: Issues and Challenges

- Migration of data / information
- Technological obsolescence (hardware, system, software)
- Multiple digital formats
- Complexity of digital files
- Systems backup

Managing Electronic Records: Issues and Challenges (Cont.)

- Inventory control (multiple copies)
- Digitization / Optical Imaging
- Growth in size / scope of information
- Maintaining long-term (archival) records in a format that is human-readable (i.e., paper or microfilm)

Managing E-mail: Essential Elements

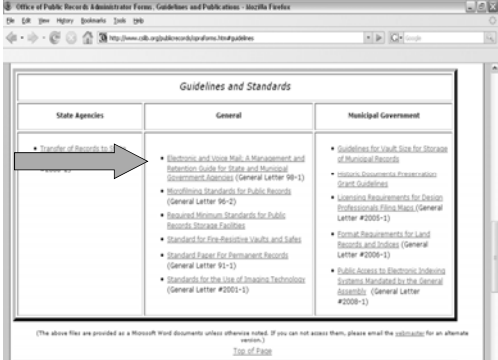
- Policies and Procedures
- Records Retention Schedules
- Training
- Software
- Continuous Improvement / Updates



Managing E-mail: State Policies

- General Letter 98-1: Electronic and Voice Mail: A Management and Retention Guide for State and Municipal Government Agencies
 - Explains retention guidelines for e-mail
 - Clarifies retention of voice mail

www.cslib.org/publicrecords/opraforms.htm#guidelines



State Agencies	General	Municipal Government
<ul style="list-style-type: none"> • Transfer of Records to 	<ul style="list-style-type: none"> • Electronic and Voice Mail: A Management and Retention Guide for State and Municipal Government Agencies (General Letter 98-1) • Uniform Standards for Public Records (General Letter 96-2) • Required Minimum Standards for Public Records Storage Facilities • Standard Paper for Permanent Records (General Letter 91-1) • Standards for the Use of Imaging Technology (General Letter #2005-1) 	<ul style="list-style-type: none"> • Guidelines for Link Size for Storage of Municipal Records • Records Documents Preservation Grant Guidelines • Licensing Requirements for Digital Professionals Ethics (General Letter #2005-1) • Format Requirements for Local Records and Indices (General Letter #2006-1) • Public Access to Electronic Indexing Systems Mandated by the General Records (General Letter #2008-1)

(The above files are provided as a Microsoft Word documents unless otherwise noted. If you can not access them, please email the solicitor for an alternate version.)

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**Managing E-mail:
Retention Guidelines** (Cont.)

Transitory Records: Delete at will

- Convey information of temporary importance
- Includes convenience copies that are distributed for informational purposes

**Managing E-mail:
Retention Guidelines** (Cont.)


Less than Permanent Records: Follow the retention period for the equivalent hard copy record as specified on an approved retention schedule:

- Must be able to retrieve the record for the minimum retention period required
- Most records fall into this category
- Includes routine correspondence

**Managing E-mail:
Retention Guidelines** (Cont.)

“Permanent” or “Permanent/Archival” Records:

- Must be retrievable for the life of the record
- Maintain human-readable copy (i.e., paper or microfilm)



Managing E-mail: Filing and Classification

- Most e-mail systems are not filing systems
- Files created by users are generally outside of the agency filing system
- Filing and classification is specific to the user



Records Storage

- On-Site:
 - Central records facility / room
- Off-Site:
 - Agency-operated records center
 - State Records Center
 - Commercial records center
- Pursuant to CGS §11-8, all storage facilities for public records must be approved by the Office of the Public Records Administrator

Example of a central records room (DEP)



State Records Center



State Records Center

- Located in Rocky Hill at 198 West Street
- Monday – Friday, 8:00 a.m. to 4:00 p.m.
- Secured Facility
- Services include:
 - Storage of Records
 - Records Retrieval, Re-file, and Interfile
 - Records Destruction

Currently all services are free of charge!

Records Disposal Authorization

- Periodically review the records retention schedule to determine which records are eligible for destruction
- Send *Records Disposal Authorization* (Form RC-108) to your RMLO who then submits it to the Office of the Public Records Administrator
- Destroy records when the signed form is returned or arrange for transfer of designated historical records

**Records Disposal Authorization:
Things to Remember**

- Statutes: Criminal Intent
 - CGS §1-240
 - CGS §53-153
- Commercial Storage
 - Still have to ask for permission to destroy
 - Conduct regular audits

**Connecticut Document
Depository Program**

- In 1977, the Connecticut General Assembly established a depository library system to improve the accessibility of state agency documents
- CGS §11-9(b)(d) requires each state agency to provide copies of its publications to the Connecticut State Library; this includes electronic or other intangible forms
- The State Library maintains 2 copies and then distributes 13 copies to designated depository libraries throughout the state, and 2 copies to the Library of Congress

**Connecticut Document
Depository Program (Cont.)**

- Each item is accessible through the State Library catalog
- The catalog record is also supplied to the statewide library catalog (reQuest) and to a worldwide database (WorldCat) that has over 58 million records

Connecticut Digital Archive

- "Archives" electronic state agency publications in a secure repository: the OCLC Digital Archive in Dublin, Ohio
- All records and objects are available through the State Library catalog, reQuest and WorldCat

How can we help?

- On-site visits
- Storage of inactive records at the State Records Center
- Storage of permanent records at the State Archives
- Assistance with developing records retention schedules
- Guidance and support



Connecticut State Library



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