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.”

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

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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

- Create
- Use
- Maintain
- Dispose
Retention Schedule

- Comprehensive listing of records series
- Specifies:
  - Minimum Retention Period
  - Disposition
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
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
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<td>M2</td>
<td>Personnel/Labor Relations Records</td>
<td>02/2005</td>
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<td>M3</td>
<td>Fiscal Records</td>
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<td>M4</td>
<td>Taxation - Assessment/Collection Records</td>
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<td>Town Clerks and Registrars of Vital Statistics Records</td>
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<td>M7</td>
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<td>Land Use and Development Records</td>
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<td>M11</td>
<td>Library, Museum, Special Collection, Archival Records</td>
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<td>Connecticut Municipal Electric Energy Cooperative (CMEEC)</td>
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<td>M16</td>
<td>Electronic Data Processing Records</td>
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<td>Accident Records</td>
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<td>(M7-300)</td>
<td>a. Fatal</td>
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<td>b. Non-fatal</td>
<td>10 years (CGS Sec. 7-282)</td>
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<td>Alarm System Activity Reports</td>
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<td>M1-020</td>
<td>Bonds:</td>
<td>6 years after expiration</td>
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<td>a. Fidelity</td>
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<td>b. Performance, includes excavation</td>
<td>6 years after completion of project</td>
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<td>c. Surety</td>
<td>6 years after completion of project</td>
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<td>(M3-105)</td>
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<td>M1-040</td>
<td>Calendars</td>
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<td>a. Official Appointment: in electronic or paper format</td>
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<tr>
<td>M1-045</td>
<td>b. Desk calendars</td>
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<td>M1-047</td>
<td>c. Elected officials</td>
<td>Term of office, plus 2 years</td>
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<td>M1-050</td>
<td>Communications/Public Relations</td>
<td>2 years</td>
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<td>(includes speeches, press releases, remarks)</td>
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<td>M1-055</td>
<td>Complaints</td>
<td>2 years after resolution</td>
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MUNICIPAL RECORDS RETENTION/DISPOSITION SCHEDULE

M11: LIBRARY, MUSEUM, SPECIAL COLLECTION, AND ARCHIVAL RECORDS
(Revised: 11/2013)

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. **SUPERSEDES:** 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 §11-8(a), 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.]

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

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<td>M7-010</td>
<td>Accreditation Files</td>
<td>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.</td>
<td>3 years from date accreditation granted, or until next accreditation, whichever is later</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>In accordance with Commission on Accreditation for Law Enforcement Agencies (CALEA) requirements.</td>
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<td>M7-020</td>
<td>Alarm Records – Alarm Response Worksheet / Reports</td>
<td>Consists of worksheets and reports for alarm response when no investigation is necessary.</td>
<td>Current year plus 1 year</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>See Schedule M3 for billing for false alarm fines.</td>
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<td>M7-030</td>
<td>Alarm Records – Alarm System Registrations</td>
<td>Consists of registration forms and other related documents, if any, for both residential and business alarm systems.</td>
<td>1 year after system deactivated or registration renewed</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>Paper registration form may be retained at the discretion of the department after data entered into system.</td>
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### How to Read a Schedule


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<td>M6-110</td>
<td>Monthly Change Detail Reports</td>
<td>[OBSOLETE] 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).</td>
<td>2 years</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>CGS §9-50a; Public Act 11-173 removed the requirement to maintain these reports.</td>
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<td>M6-120</td>
<td>Motor Vehicle Monthly Change of Address List</td>
<td>List of individuals who checked off the voter registration section on driver’s license or motor vehicle registration.</td>
<td>2 years [42 USC 20 §1973gg-6][National Voter Registration Act of 1993]]</td>
<td>Destroy after receipt of signed Form RC-075                                                                /gpl mg §9-35(c).</td>
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<td>(M6-460)</td>
<td>Petition for Call to Amend Town Party Rules</td>
<td>Petition for caucus or convention to amend existing party rules.</td>
<td>3 years</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>CGS §9-375. See M6-500 for Town Party Records including rules.</td>
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<td>M6-130</td>
<td>Polling Place Officials, List of</td>
<td>List of workers, certified and signed by the registrar, for both general and primary elections. Includes oaths.</td>
<td>14 days after election, if not contested</td>
<td>Destroy after receipt of signed Form RC-075                                                                /gpl mg §9-258 and §9-436. If attached to moderator’s return, retain for same period as the return.</td>
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<td>M6-140</td>
<td>Registry List – Final and Supplementary – Registrar’s Copy</td>
<td>List of registered voters.</td>
<td>2 years [CGS §9-39]</td>
<td>Destroy after receipt of signed Form RC-075                                                                /gpl mg §9-37. See M6-490 for Town Clerk’s requirements.</td>
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<td>M6-150</td>
<td>Registry List – Preliminary – Registrar’s Copy</td>
<td>[OBSOLETE] List of registered voters. Until printing of new preliminary list (retain 2 copies of current list)</td>
<td>Destroy</td>
<td>CGS §9-37. Public Act 11-173 removed the requirement to maintain this list. See M6-500 for Town Clerk’s requirements.</td>
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<td>M11-030</td>
<td>Facilities Use Records</td>
<td>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.</td>
<td>Current year plus 1 year</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>Libraries using scheduling software such as Evanced Solutions, Library Insight, or Google Calendar must maintain an on-site copy in either paper or electronic format for the required retention period. See Note #7 at beginning of schedule.</td>
</tr>
<tr>
<td>M11-040</td>
<td>Library Board/Trustee Governance Records</td>
<td>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.</td>
<td>Permanent</td>
<td>Maintain in agency</td>
<td>See Records Retention Schedule M1 General Administration Records for related records including but not limited to board minutes, agendas and policies.</td>
</tr>
<tr>
<td>M11-050</td>
<td>Library Services and Construction Act Title II Grant Files</td>
<td><strong>[OBSoLeTe]</strong> 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.</td>
<td>20 years after receipt of final payment from state</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>The federal construction program ended in 1996. Federal regulations maintain that a &quot;Federal Interest&quot; 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)]</td>
</tr>
</tbody>
</table>


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

RECORDS DISPOSITION AUTHORIZATION
Connecticut Towns, Municipalities, and Boards of Education
Form RC-075 (Revised 01/2010)

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

**CUSTODIAN OF RECORDS:**
Amy Dexter

**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**

<table>
<thead>
<tr>
<th>CUSTODIAN OF RECORD (type or print):</th>
<th>SIGNATURE (Custodian of Record):</th>
<th>DATE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amy Dexter</td>
<td></td>
<td>8/10/12</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HEAD OF MUNICIPALITY (type or print):</th>
<th>SIGNATURE (Head of Municipality):</th>
<th>DATE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>John A. Elsesser, Town Manager</td>
<td></td>
<td>8/23/12</td>
</tr>
</tbody>
</table>

**EDUCATION AUTHORIZATION**

<table>
<thead>
<tr>
<th>SUPERINTENDENT OF SCHOOLS (type or print):</th>
<th>SIGNATURE (Superintendent of Schools):</th>
<th>DATE:</th>
</tr>
</thead>
</table>

https://ctstatelibrary.org
<table>
<thead>
<tr>
<th>SCHEDULE &amp; SERIES #</th>
<th>RECORDS SERIES TITLE</th>
<th>INCLUSIVE DATES OF RECORDS</th>
<th>VOLUME OF RECORDS</th>
<th>PROPOSED DATE OF DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. M2-030</td>
<td>Applications for employment incl seasonal</td>
<td>01/01/2017-12/31/2017</td>
<td>0.15</td>
<td></td>
</tr>
<tr>
<td>2. M2-160</td>
<td>Leave requests, supervisor's copy</td>
<td>01/01/2017-12/31/2017</td>
<td>4.5</td>
<td></td>
</tr>
<tr>
<td>3. M3-145</td>
<td>Cash register, receipts</td>
<td>01/01/2015-12/31/2015</td>
<td>1.54</td>
<td></td>
</tr>
<tr>
<td>4. M3-290</td>
<td>Purchase orders</td>
<td>01/01/2015-12/31/2015</td>
<td>1.54</td>
<td></td>
</tr>
<tr>
<td>5. M3-435</td>
<td>Time records</td>
<td>01/01/2015-12/31/2015</td>
<td>2.5</td>
<td></td>
</tr>
<tr>
<td>6. M11-030</td>
<td>Facilities use records</td>
<td>01/01/2017-12/31/2015</td>
<td>0.03</td>
<td></td>
</tr>
<tr>
<td>7. M11-120</td>
<td>Usage statistics</td>
<td>01/01/2017-12/31/2018</td>
<td>0.15</td>
<td></td>
</tr>
<tr>
<td>8. M11-150</td>
<td>Connecticut Transaction Records</td>
<td>01/01/2015-12/31/2015</td>
<td>0.15</td>
<td></td>
</tr>
</tbody>
</table>

Public Records Authorization:

APPROVED (Public Records Administrator):

DATE: JUL 19 2019

APPROVED (State Archivist):

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; i.e., 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

- Correspondence
  - Complaints
  - Routine
    - 2013
    - 2014
    - 2015
  - Transitory
- Other
  - Bills
  - CONNector
  - FileNet
- General Schedules
- Listserv (11)
  - Municipal Agencies
  - NEA
- Public Records Policies
- Records Center
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

Kathy Makover, Field Archivist  
(860) 566-1100  Ext. 303  
kathy.makover@ct.gov

Elise Marzik, Electronic Records Analyst  
(860) 757-6513  
elise.marzik@ct.gov

Connecticut State Library  
Office of the Public Records Administrator

Municipal Records Management Program:  
https://ctstatelibrary.org/publicrecords/municipal