
 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 4.7	Effective Date 10/22/15	Page 1 of 4
	Supersedes Records Retention, dated 04/16/2012		
Approved By:  Commissioner Scott Semple	Title Records Retention		

1. **Policy.** The Department of Correction shall retain public records for specified periods of time as designated by state statute and/or regulation.
2. **Authority and Reference.**
 - A. Connecticut General Statutes, Sections 1-7 through 1-18, 1-200(5), 1-213, 1-216, 1-217, 1-218, 1-240, 1-277, 1-282, 2-90(g) 4-38d, 4-190, 4-193, 11-8, 11-8a, 11-8b, 18-81, 53-153, 54-142a, 54-142d, 54-142g through 54-142i.
 - B. Connecticut State Library, State Records Management Program (<http://www.cslib.org/publicrecords/>).
 - C. Connecticut State Library, General Letter 2009-2, E-mail and other Electronic Messages, June 2009.
 - D. Connecticut State Library, Office of Public Records Administration, Public Records Policy 03: Standards for Public Records Storage Facilities.
 - E. State of Connecticut Office of Policy and Management, Policy IT-REC-15-01, Electronic Mail Records Management Policy, June 15, 2015
 - F. Administrative Directive 4.6, Use of Computers and Related Technologies.
 - G. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1E-01.
 - H. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standard 4-4095.
3. **Definitions and Acronyms.** For the purposes stated herein, the following definitions and acronyms apply:
 - A. **Electronic Mail (E-mail).** The electronic transfer of information typically in the form of electronic messages, memoranda, and attached documents from a sending party to one or more receiving parties via an intermediate telecommunications system. Email is the means of sending messages between computers using a computer network. Email services, as defined by this policy, refer to the use of state-provided electronic mail systems.
 - B. **Non-Record.** Extra copies kept for convenience, informational copies of correspondence, duplicate copies of documents maintained in the same file, working papers and preliminary drafts.
 - C. **Personal Identifiers.** Information that could permit fraud or identity theft to occur including, but not limited to, social security numbers, residential addresses, dates of birth, employee numbers, inmate numbers, biometric data, or DNA data.
 - D. **Public Records.** Department generated books, files, papers, audio/video/digital recordings, and/or other documents, in either paper or electronic format, which have been recognized by the State Librarian as having administrative, fiscal, or legal value.
 - E. **Public Records Administrator.** A state employee, appointed by the State Librarian, responsible for the management and retention of official state records.

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- F. 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 of the Connecticut General Statutes, whether such data or information be handwritten, typed, tape-recorded, printed, photostatted, photographed, or recorded by any other method.
- G. RMLO. Records Management Liaison Officer.
- H. State Librarian. An appointed state employee responsible for the development and direction of the records management program.
- I. State Archivist. An appointed state employee responsible for the management of the state archive.
4. Management. The Department shall follow the guidelines set forth by the State Librarian regarding the maintenance and retention of public records. These guidelines shall include, but are not be limited to:
- A. Approval of security storage facilities for the safe storage of original public records or security copies thereof;
 - B. Identification of public records;
 - C. Preservation of public records;
 - D. Retention timeframes of public records; and,
 - E. Destruction of public records.
5. Records Management Liaison Officer. The Commissioner shall designate a sufficient number of employees to serve as Agency RMLOs with the State Librarian and designee(s). Agency RMLOs shall:
- A. Establish guidelines for maintaining and using records in the conduct of Department business;
 - B. Inventory the Department public records;
 - C. Review retention schedule for each public record;
 - D. Maintain an updated records retention schedule for the Department; and,
 - E. Submit a copy of any Department issued form, not already on the records retention schedule, to the State Librarian for review and possible placement on the retention schedule.
6. Maintenance and Retention. Each Division, District and Unit Administrator shall designate a Records Custodian to work with Agency RMLOs, who shall provide for the secure maintenance, retention and/or transfer of all public records, in accordance with the relevant records retention schedule(s) as enumerated in Section 10 of this Directive.
7. Storage of Records. Each Division, District and Unit Administrator shall provide for secure local storage of public records. Security/storage requirements shall be in keeping with the provisions of this Directive, the relevant records retention document(s) as enumerated in Section 10 of this Directive, and the Office of Public Records Administration's Public Records Policy 03: Standards for Public Records Storage Facilities. Any record storage required outside of the Department shall be provided for by the State Librarian.
- A. Paper records shall be stored in Fellows Bankers Boxes (or alternate containers as authorized by an Agency RMLO) in accordance with the requirements established by the Public Records Administrator.

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- B. All boxes shall be labeled or inscribed for the purposes of indentifying the origin and contents of the box by:
1. Attaching CN 4701, Storage Box Identification Label to the outside of the box. CN 4701, Storage Box Identification Label shall indicate the facility and/or unit name, time period covered, description of the contents, schedule number and the box number (e.g., CRCC-2005-001, (CRCC - facility initials), (2005 - calendar year), and (001 - box number beginning with 001)).
 2. Writing the information listed in Section 7(B)(1) above on the outside of the box.
- C. An inventory of the boxes shall be kept by the unit disposing of the records in an electronic format or by utilizing CN 4702, Records Disposal Inventory Form.

Each record storage unit shall be secured when not in use and access shall be restricted. Each Division, District and Unit Administrator shall designate a senior staff member(s) to act as the key custodian for the record storage unit. The record storage unit shall have a logbook to document access by name, date, time, documents removed, and when returned.

8. Storage of Electronic Records. Electronic records shall be stored securely on network drives and authorized devices in accordance with the policies established by the Connecticut Department of Administrative Services (Bureau of Enterprise Systems and Technology), and in accordance with Administrative Directive 4.6, Use of Computers and Related Technologies.
- A. Email messages are similar to traditional postal mail. Employees who are issued electronic Email accounts and associated mailboxes are responsible for organizing their mailboxes and ensuring that any individual Emails, calendar invitations, tasks, attachments and other applicable electronic data that meet the definition of a record or the definition of a public record are appropriately managed in accordance with the retention schedules set forth in section 10 of this Directive.
 - B. Retention of Emails and electronic data is based on the content of the message, not the media type. The content of each Email message that is sent and received must be evaluated for action and subsequent retention. Some Emails may be defined as "non-record" in accordance with section 3 of this Directive and can be deleted immediately upon receipt. Emails that document agency functions and provide evidence of agency business must be retained according to the equivalent records retention schedule that can be referenced in the Retention Schedules Folder attached to this Directive which contains all schedules enumerated in section 10.
9. Facility/Unit Review of Records. Prior to requesting the disposal of any record, the Records Custodian shall review the records being considered for disposal for any administrative, fiscal, or legal value. Any record not covered by a records retention schedule shall be temporarily archived and the matter referred to an Agency RMLO for review and disposition.
10. Retention Schedules. Department records shall be retained in accordance with applicable records retention schedules as follows:
- A. Schedule S-1, Administrative Records;

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- B. Schedule S-2, Personnel Records;
 - C. Schedule S-3, Fiscal Records;
 - D. Schedule S-4, Health Records;
 - E. Schedule S-5, Higher Education Records;
 - F. Schedule S-6, Information Systems Records;
 - G. Schedule RC-050, Department of Correction Records Retention Schedule; and,
 - H. General Letter 2009-2, Management and Retention of E-mail and other Electronic Messages.
11. Request for Disposal. All requests for record disposal shall be coordinated through an Agency RMLO in accordance with the provisions of this Directive. The Records Custodian shall submit a request for disposal, a signed and completed Attachment A, Records Disposition Authorization (Form RC-108), to an Agency RMLO for review. Agency RMLOs shall submit the requests to the Public Records Administrator and State Archivist for final review and approval. Upon receipt of the authorized Records Disposition Authorization (Form RC-108), the Agency RMLO who submitted the RC-108 Form shall process the request.
12. Disposal. No Department employee shall dispose any record listed on Attachment A, Records Disposition Authorization (Form RC-108), without a copy bearing the approval of the Public Records Administrator and State Archivist. Prior to disposal of Department records, the Records Custodian may request an authorized purchase requisition form for on-site disposal of confidential records or records containing personal identifiers by a state-approved vendor, or use agency cross cut shredders. All other records can be shredded, incinerated, or recycled by vendor off-site. Upon completion of record destruction, the Records Custodian shall provide an Agency RMLO confirmation of any services received and the quantity and date of record disposal.
13. Forms and Attachments. The following forms and attachments are applicable to this Administrative Directive and shall be utilized for their intended function:
- A. CN 4701, Storage Box Identification Label;
 - B. CN 4702, Records Disposal Inventory Form;
 - C. Attachment A, Records Disposition Authorization (Form RC-108).
 - D. General Guidelines Folder to include accompanying information.
 - E. Retention Schedules Folder to include all schedules as enumerated in Section 10 of this Directive.
14. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require the prior written approval of the Commissioner.