



CT State Library

Office of the Public Records Administrator

**State Records Management Training
Session 2**

**RETENTION SCHEDULES &
DISPOSITION PROCEDURES**

November 20, 2024

**Presented by
Office of the Public Records Administrator**

Presenter



- **Elise Marzik**
Records Management Specialist

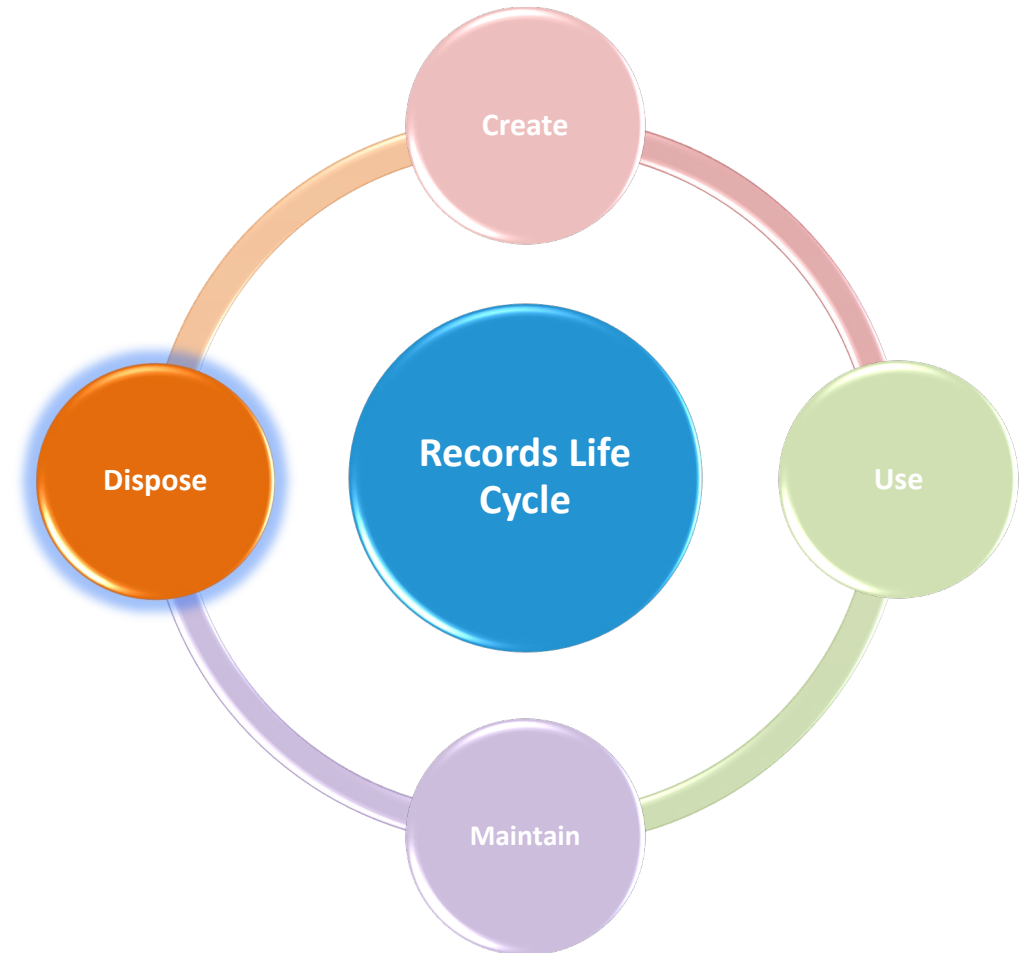
Office of the Public Records Administrator
Connecticut State Library

<https://portal.ct.gov/csl/departments/public-records/state-program>

Agenda



- State Records Management Program Reminders
- Records Retention Schedules
- Disposition Authorization



State Records Management Program Reminders



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.

What is a record?



- Relates to business activities
- Recorded (in any format)
- Characteristics:
 - Authentic
 - Complete and Unaltered
 - Reliable
 - Usable
- Public Records [CGS §1-200(5)]
 - All public agency records are public records, regardless of format
 - Includes restricted and confidential records



Official Record Copy



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



Records Custodian



- Responsible for the direct custody and care of the records in the normal course of business
- May or may not be the records creator
- Signs RC-108 disposition authorization



Employee Responsibilities



- Be aware of records management requirements
 - Public Records Policy 05
 - Records Retention Schedules
- All employees are responsible for management of records
- Know your RMLO!
- Retain records until eligible for disposition
- Ensure records are disposed of after receiving authorization

Records Management Liaison Officer (RMLO)



- *PRP 07: RMLO and Assistant RMLO Appointment and Duties*
 - Each state agency must appoint an RMLO to coordinate records management activities at the agency level and serve as a liaison with the Office of the Public Records Administrator [CGS § 11-8a(f)]
- Coordinates records disposition and obtains approval to destroy records
- Prepares and submits agency retention schedules
- First point of contact for agency records questions
- Assistant RMLO
 - Support RMLO with agency records program
 - May obtain temporary authority to sign disposition authorizations

Form RC-078



STATE AGENCY:		DIVISION / UNIT:	
ADDRESS:		INTER-DEPARTMENT MAIL: <input type="checkbox"/> YES <input type="checkbox"/> NO	
FIRST NAME:	LAST NAME:	JOB TITLE:	
DIVISION / UNIT (if different from above):		ADDRESS (if different from above):	
		INTER-DEPARTMENT MAIL: <input type="checkbox"/> YES <input type="checkbox"/> NO	
E-MAIL:	PHONE:	FAX:	
ADD DESIGNATION: <input type="checkbox"/> Add as RMLO <input type="checkbox"/> Add as Assistant RMLO		REMOVE DESIGNATION: <input type="checkbox"/> Remove as RMLO <input type="checkbox"/> Remove as Assistant RMLO	OTHER: <input type="checkbox"/> Update contact information <input type="checkbox"/> Change status to _____
AREA(S) OF AUTHORITY (Use "Other" for a large agency designating more than one RMLO): <input type="checkbox"/> Entire Agency <input type="checkbox"/> Other (division/department/region/program): _____			
NOTES: _____ _____ _____			
AGENCY HEAD OR DEPUTY (type or print): _____ _____			
TITLE (type or print): _____ _____			
APPROVED (signature of agency head or deputy): _____			DATE SIGNED: _____

Records Retention Schedules



State Library Website



<https://ctstatelibrary.org/>

<https://portal.ct.gov/csl/departments/public-records>

<https://ctstatelibrary.org/> (Old CSL Website)



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Search

- ▶ Our Catalog (Primo)
- ▶ Articles (researchIT-CT)
- ▶ Catalog (findIT-CT)
- ▶ CSL Digital Archive – CTDA
- ▶ CSL Digital Archive – Content DM
- ▶ Search This Site

How to ...

- ▶ Find Hours and Locations – All Facilities
- ▶ Visit the State Library in Hartford
- ▶ Ask for Research Assistance

Welcome to the Connecticut State Library

The CT State Library has a new website!

Please visit <https://portal.ct.gov/csl> for the most current information and resources.

<https://portal.ct.gov/csl> (New CSL Website)



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Discover the many ways the Connecticut State Library supports and inspires researchers, students, historians, local and state governments, and all residents of Connecticut.

Looking for important services and information? The State Library houses reference services, public records, and the official State archives. We can help you sign up for a library card, access retention schedules, learn about our state's rich history and heritage, and much more.

[Visit the Connecticut State Library](#) today!

Address: 231 Capitol Avenue, Hartford, CT 06106

Hours: Monday - Friday 10 a.m. to 4 p.m.

<https://portal.ct.gov/csl>



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[Public Records](#)

[About Public Records](#)

[Municipal Records Program](#)

[Municipal Forms, Policies, & Procedures](#)

[Municipal General Retention Schedules](#)

[Historic Documents Preservation Program](#)

[State Records Program](#)

[State Forms, Policies, & Procedures](#)

[State General Retention Schedules](#)

[State Agency Specific Retention Schedules](#)

[State Records Center](#)

[Essential Records Program](#)



Connecticut.

Looking for important services and information? The State Library houses reference services, public records, and the official State archives. We can help you sign up for a library card, access retention schedules, learn about our state's rich history and heritage, and much more.

[Visit the Connecticut State Library](#) today!

Address: 231 Capitol Avenue, Hartford, CT 06106

Hours: Monday - Friday 10 a.m. to 4 p.m.

Public Records Administration



Office of the Public Records Administrator

The Office of the Public Records Administrator (OPRA) plans and runs the program for managing records in the State of Connecticut. This system makes sure government records are protected, accessible, and transparent. It also helps preserve public records for emergencies and future use.

LeAnn Power is the Public Records Administrator.

[About](#) >

Public Records Home

<https://portal.ct.gov/csl/departments/public-records>

Municipal Records Management Program

For the towns, cities, boroughs, districts, and other political subdivisions of the state to access records management [Forms, Policies, & Procedures](#); [Records Retention Schedules](#); and the [Historic Documents Preservation Program](#).

[Learn More](#)

State Records Management Program

For state agencies and constitutional offices within the executive branch; public colleges and universities; and certain quasi-public agencies to access records management [Forms, Policies, and Procedures](#); [General Retention Schedules](#); [Agency Specific Retention Schedules](#); and the [State Records Center](#).

[Learn More](#)



State Records Management Program

Agencies that are part of the State Records Management Program:

- **Constitutional Offices**, including the Office of the Governor, Lt. Governor, Secretary of the State, State Treasurer, State Comptroller, and State Attorney General
- **Agencies in the executive department**
- **Public colleges and universities**
- **Quasi-public agencies**, like Access Health CT, CT Paid Leave Authority, and several others

Forms, Policies, & Procedures

Forms, policies, and procedures for the State Records Management Program; including but not limited to: Records Retention and Disposition; Records Management Liaison Officer (RMLo) program; Electronic Records; Digitization; and Records Storage.

[Learn More](#)

State General Records Retention Schedules

Records Retention Schedules show how long records must be stored based on administrative, fiscal, and legal requirements, as well as their historical value. General Records Retention Schedules list records that are common to many agencies.

[Learn More](#)

Agency Specific Records Retention Schedules

Records Retention Schedules show how long records must be stored based on administrative, fiscal, and legal requirements, as well as their historical value. Agency Specific Records Retention Schedules list records that are unique to the work of the agency.

[Learn More](#)

State Records Center

The State Records Center Facility provides records storage and destruction services to state agencies free of charge.

[Learn More](#)

State Records Program Page

<https://portal.ct.gov/csl/departments/public-records/state-program>



State Forms, Policies, & Procedures

For Retiring State Employees

[Retiring and Ready to Go? What to do with Your Records >](#)

Records Retention and Disposition

[PRP 05: Disposition of Public Records >](#)

[General Records Schedules >](#)

[Agency-Specific Records Schedules >](#)

[Form RC-108: Records Disposition Authorization >](#)

[Volume of Records Measurement Guide >](#)

[Form RC-109: Records Disposition Certificate for Information Systems Records >](#)

[Form RC-077: Request for Removal of Public Records Personal Data Files >](#)

[State Archives Policy 01: Transfer of Historical Records to the State Archives or Other Approved Archival Repository >](#)

[Procedures for the Transfer of Historical Public Records to the State Archives >](#)

[State Archives Memorandum of Transfer >](#)

Records Management Liaison Officer (RMLO) and Assistant RMLO

[PRP 07: RMLO and Assistant RMLO Appointment and Duties >](#)

[Form RC-078: RMLO Designation >](#)

[Form RC-079: Notice of RMLO Leave & Temporary Designation >](#)

[Records Management Self-Evaluation and Compliance Guide >](#)

Electronic Records

[PRM 101: Disposition of Original Paper Records after Scanning >](#)

[PRP 04: Electronic Records Management >](#)

[PRS 04-1: Electronic Records Standards >](#)

Forms, Policies, & Procedures

<https://portal.ct.gov/csl/departments/public-records/state-program/policies-forms>



General Records Retention Schedules for State Agencies

Records Retention Schedules show how long records must be stored based on administrative, fiscal, and legal requirements, as well as their historical value. General Records Retention Schedules list records that are common to many agencies.

Agencies that are part of the State Records Management Program:

- **Constitutional Offices**, including the Office of the Governor, Lt. Governor, Secretary of the State, State Treasurer, State Comptroller, and State Attorney General
- **Agencies in the executive department**
- **Public colleges and universities**
- **Quasi-public agencies**, like Access Health CT, CT Paid Leave Authority, and several others

Contact the Office of the Public Records Administrator if:

- You have records that you cannot locate on any records retention schedule
- You are not sure if your agency is included in the program
- You are looking for superseded or obsolete records retention schedules

[Public Records Home](#)

General Retention Schedules

ADMIN Administrative Records >

PERS Personnel Records >

FISCAL Fiscal Records >

HEALTH Health Records >

EDU Higher Education Records >

INFOSYS Information Systems Records >

VocTech Full-Time Post Secondary Programs in Vocational-Technical School Systems >

General Records Retention Schedules

<https://portal.ct.gov/csl/departments/public-records/state-program/general-schedules>



State Agency Specific Records Retention Schedules

Records Retention Schedules show how long records must be stored based on administrative, fiscal, and legal requirements, as well as their historical value. Agency Specific Records Retention Schedules list records that are unique to the work of the agency. Agencies are not required to have an agency specific records retention schedule.

Agencies that are part of the State Records Management Program:

- Constitutional Offices, including the Office of the Governor, Lt. Governor, Secretary of the State, State Treasurer, State Comptroller, and State Attorney General
- **Agencies in the executive department**
- **Public colleges and universities**
- **Quasi-public agencies**, like Access Health CT, CT Paid Leave Authority, and several others

PLEASE NOTE: Only Agency Specific Records Retention Schedules created or revised after July 1, 2007 are posted below. Schedules dated prior to July 1, 2007 are on file at the Office of the Public Records Administrator.

Contact the Office of the Public Records Administrator if:

- You have records that you cannot locate on any records retention schedule
- You are not sure if your agency is included in the program
- You are looking for retention schedules published prior to July 1, 2007
- You are looking for superseded or obsolete records retention schedules

Agency-Specific Records Retention Schedules

Administrative Services, Department of (DAS) >

Aging and Disability Services, Department of (ADS) >

Agricultural Experiment Station, Connecticut (CAES) >

Attorney General, Office of (AG) >

Banking, Department of (DOB) >

Comptroller, Office of the State (OSC) >

Agency Specific Retention Schedules

<https://portal.ct.gov/csl/departments/public-records/state-program/agency-specific-schedules>



Retention Schedule (ADMIN)



Record Series Title

Record Series Title	<input type="text" value="All"/>	Retention Schedule[Full Path]	<input type="text" value="Agency General Schedules: Administrative"/>	<input type="button" value="Search"/>
Information Type	<input type="text" value="All"/>	Keyword of [FullPath Or Essential Record Or Title Or Description Or Comments Or Code Or Record Type]	<input type="text" value="All"/>	

Record Series Code	Record Series Title	Minimum Retention	Disposition	DESCRIPTION
Agency General Schedules: Administrative				
ADMIN-001	Correspondence - Related to Specific Agency Functions or Programs (Corporate Master)	Follow retention of appropriate corresponding records series	Follow disposition of records series that documents specific agency functions or programs. [When requesting permission to dispose of records, indicate the records series number on Form RC-108]	For communications related to specific agency functions or programs including email, instant messaging, and text messaging, use appropriate corresponding records series.
ADMIN-002	Email and other Electronic Messages (Corporate Master)	Follow retention of appropriate corresponding records series	Follow disposition of appropriate records series.	For electronic messages, such as electronic mail (email), instant messaging, (IM) and text messaging (SMS), use appropriate corresponding records series.
ADMIN-003	Social Media Records (Corporate Master)	Follow retention of appropriate corresponding records series	Follow disposition of appropriate corresponding records series	For social media/Web 2.0 records, such as Facebook™ and Twitter™, use the appropriate corresponding records series.
ADMIN-004	Website Content Records (Corporate Master)	Follow retention of appropriate corresponding records series	Follow disposition of appropriate corresponding records series	For website content records, such as websites, blogs, and wikis, use the appropriate corresponding records series. This applies to the official record copy.
ADMIN-005	Accident Records (Corporate Master)	Calendar year end + 10 Year(s)	Destroy after receipt of signed Form RC-108	This series documents reports and related documents regarding personal injury on state property, at state sponsored events, or in state owned vehicles.
ADMIN-006	Accreditation Records (Corporate Master)	Next accreditation + 5 Year(s)	Disposition 5 years from date accreditation granted, or until next accreditation, whichever is later. Destroy after receipt of signed Form RC-108	This series documents the accreditation process by accrediting and regulatory bodies. Including but not limited to data; correspondence; other supporting documentation, reports received from study committees of accrediting associations; and suggestions and recommendations concerning organizational structure and administration.
ADMIN-007	Alarm System Activity Reports (Corporate Master)	Activity date + 2 Year(s)	Destroy after receipt of signed Form RC-108	This series documents alarm system activity at agency facilities. Including but not limited to: alarm test check sheets; zone check sheets; gate alarm check sheets; and alarm activity logs.
ADMIN-008	Award and Recognition Records (Corporate Master)	Award date + 3 Year(s)	Destroy after receipt of signed Form RC-108	This series documents the issuance of awards and recognition of state employees, as well as students and faculty at higher education institutions, and the general public. Including but not limited to: award descriptions; qualification materials; and related correspondence.
ADMIN-009	Calendars - Administrative Head (Corporate Master)	Term of office + 2 Year(s)	Destroy after receipt of signed Form RC-108	This series documents daily activities of the administrative head of an agency (i.e., commissioner, executive director, agency head, or chief executive officer)
ADMIN-010	Calendars - Staff (Corporate Master)	Calendar year end + 1 Year(s)	Destroy after receipt of signed Form RC-108	This series documents daily activities of staff.
ADMIN-011	Complaint Files (Corporate Master)	Resolution date + 2 Year(s)	Destroy after receipt of signed Form RC-108	This series documents routine complaints that do not involve health and safety issues. Including but not limited to: complaints, preliminary investigations, findings, background material and responses.

Records Series



Record Series Title

Record Series Title	Award and Recognition Records
Record Series Description	This series documents the issuance of awards and recognition of state employees, as well as students and faculty at higher education institutions, and the general public. Including but not limited to: award descriptions; qualification materials; and related correspondence.
Record Series Code	ADMIN-008
Information Types	Award and Recognition Letters,Award Descriptions,Award Letters,Correspondence,Qualification Materials,Recognition Letters
Agency Unit - Function	
Minimum Retention	Award date + 3 Year(s)
Disposition	Destroy after receipt of signed Form RC-108
Effective Date	May 1, 2014
Version	2
Notes	See ADMIN-008 Award and Recognition Records for mediation awards. See PERS-017 Employee Personnel File for award records related to employee service and compensation. See EDU-046 for retention of Student Financial Aid Records.
Citation(s)	
Essential Record	
Historical Value	Archival Review Required
Legacy Record Series	S1-040
Full Name	Agency General Schedules: Administrative: Award and Recognition Records

Retention Schedule Reminders



- The same records management principles apply to electronic records as paper records
- No requirement to create a record just because it's listed on a schedule
- If not listed on a schedule, can't dispose – contact the Public Records Office for assistance
- Schedules do not provide authority to dispose – obtain authorization in advance (using Form RC-108)



Developing Retention Schedules



- Collaborative process → Agency & Public Records
- Form RC-051 Retention Schedule Worksheet
- Reviewed by Archives staff for archival value

Retention Determined by: Value

- Administrative
- Legal
- Fiscal
- Historical / Research

Factors include:

- Operational needs
- Federal and state laws
- Regulations
- Statutes of limitation
- State or federal fiscal audits
- Other internal audits
- Archival value



Form RC-051



- For creating or revising retention schedules

(1) AGENCY:		(2) AGENCY ADDRESS:	
(3) <input type="checkbox"/> DEPARTMENTAL SCHEDULE (list division, unit, or program): <input type="checkbox"/> FUNCTIONAL SCHEDULE (list functions):			
(4) RMLO:		(5) RMLO PHONE:	(6) RMLO E-MAIL:
(7) STATUTES/REGULATIONS ESTABLISHING AGENCY AUTHORITY/FUNCTION:			

(8) Add/ Delete/ Modify	(9) Series #	(10) Records Series Title	(11) Description	(12) Retention	(13) Disposition	(14) Notes
	Leave blank if this is a new record series.					Press "Tab" to add additional rows.

Disposition Authorization



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-108)



RC-108 Form



<https://portal.ct.gov/csl/departments/public-records/state-program/policies-forms>

https://portal.ct.gov/csl/-/media/csl/departments/public-records/state-records/form-rc-108_statercrdsdisposal2024.pdf

**RECORDS DISPOSITION AUTHORIZATION –
STATE AGENCIES**

Form RC-108 (Revised 11/2024)



STATE OF CONNECTICUT

Connecticut State Library

Office of the Public Records Administrator 231 Capitol

Avenue, Hartford, CT 06106

<https://portal.ct.gov/csl/departments/public-records>

AUTHORITY: State agencies in the Executive branch and certain quasi-public agencies must use this form to obtain approval for disposition (destruction or transfer) of public records in accordance with CGS §11-8a. All records proposed for disposition must be on an approved records retention schedule. If a record is not on a schedule, contact this office for further direction.

INSTRUCTIONS:

1. Use this form to request authorization to destroy or transfer records (hard copy or electronic).
2. Fill out the form completely and legibly and email form to CSL.Disposition@ct.gov
3. The form must be signed by the Records Custodian and Records Management Liaison Officer (RMLO).
4. After approval by the State Archivist and the Public Records Administrator, a copy of the approved Authorization will be returned to the RMLO. Records may not be destroyed until the agency has received the signed Authorization.
5. At the time of disposal, the RMLO should record the actual date of disposition, attach any related supporting documentation (e.g., Certificate of Destruction or Transfer Agreement), and retain pursuant to ADMIN-059. Hard copy records should be destroyed by shredding.

STATE AGENCY:	DIVISION / UNIT:	RMLO EMAIL ADDRESS (for return of form):
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TYPE OF REQUEST – Indicate one and sign the associated certification statement below:

<input type="checkbox"/> TRANSFER Legal & Physical Custody	<input type="checkbox"/> TRANSFER Physical Custody ONLY	I hereby certify that the records listed below are to be transferred to another entity. Entity name and address:
<input type="checkbox"/> DESTRUCTION	I hereby certify that the records listed below have met the retention requirements as indicated on approved records retention schedules issued by the Office of the Public Records Administrator. No records listed, in my opinion, pertain to any pending case, claim, or action. If applicable, all relevant audit reports have been issued.	

RECORDS CUSTODIAN:	JOB TITLE OF RECORDS CUSTODIAN:	RECORDS CUSTODIAN SIGNATURE:	DATE SIGNED:	PHONE:
RMLO:	JOB TITLE OF RMLO:	RMLO SIGNATURE:	DATE SIGNED:	PHONE:

RECORD SERIES NUMBER (e.g. ADMIN-015 or DAS-01-001)	RECORDS SERIES TITLE	DATES OF RECORDS		VOLUME OF RECORDS	PROPOSED DATE OF DISPOSITION*
		FROM	THRU		
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

OFFICE USE ONLY — AUTHORIZATION EXCEPTIONS:			TOTAL VOLUME OF RECORDS	
APPROVED (Signature of State Archivist):	DATE SIGNED:	APPROVED (Signature of Public Records Administrator):	DATE SIGNED:	

*Destroy on or after Proposed Date of Disposition

Form RC-108



RC-108 Agency Information



STATE AGENCY:		DIVISION / UNIT:		RMLO EMAIL ADDRESS (for return of form):	
TYPE OF REQUEST – Indicate one and sign the associated certification statement below:					
<input type="checkbox"/> TRANSFER Legal & Physical Custody	<input type="checkbox"/> TRANSFER Physical Custody ONLY	I hereby certify that the records listed below are to be transferred to another entity. Entity name and address:			
<input type="checkbox"/> DESTRUCTION	I hereby certify that the records listed below have met the retention requirements as indicated on approved records retention schedules issued by the Office of the Public Records Administrator. No records listed, in my opinion, pertain to any pending case, claim, or action. If applicable, all relevant audit reports have been issued.				
RECORDS CUSTODIAN:	JOB TITLE OF RECORDS CUSTODIAN:	RECORDS CUSTODIAN SIGNATURE:	DATE SIGNED:	PHONE:	
RMLO:	JOB TITLE OF RMLO:	RMLO SIGNATURE:	DATE SIGNED:	PHONE:	

- State Agency
- Division/Unit
- RMLO email address (for return of form)
- Transfer or Destruction
- Records Custodian & RMLO:
 - Name
 - Job title
 - Signature & date signed
 - Phone number

RC-108 Records Information



RECORD SERIES NUMBER (e.g. ADMIN-015 or DAS-01-001)	RECORDS SERIES TITLE	DATES OF RECORDS		VOLUME OF RECORDS	PROPOSED DATE OF DISPOSITION*
		FROM	THRU		
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

- Record Series ID # (from State General or Agency Specific Retention Schedule)
- Record Series Title (from State General or Agency Specific Retention Schedule)
- Date Range of Records (may include multiple years in one row, must include start & end date)
- Volume of records (in cubic feet, megabytes, or gigabytes)
- Proposed date of disposition (*may not dispose prior to proposed date)

RC-108 Authorization



OFFICE USE ONLY — AUTHORIZATION EXCEPTIONS:		TOTAL VOLUME OF RECORDS	
APPROVED <i>(Signature of State Archivist):</i>	DATE SIGNED:	APPROVED <i>(Signature of Public Records Administrator):</i>	DATE SIGNED:

***Destroy on or after Proposed Date of Disposition**

- Total Volume of Records
- Public Records/Archives use:
 - Authorization Exceptions (records cannot be destroyed)
 - Signature of State Archivist
 - Signature of Public Records Administrator
- Authorization is valid for Proposed Date of Disposition or later

Records Destruction



- Approved RC-108 will be returned to RMLO via email
- 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
- RMLO should keep copy of completed RC-108



Digital Imaging (Scanning)



- For reformatting of records: paper → digital
- *Public Records Policy 04: Electronic Records Management*
- *Public Records Standards 04-1: Electronic Records*
- *Public Records Standards 04-2: Digital Imaging*
- *Public Records Memorandum 101: Disposition of Original Paper Records after Scanning*
- Approval required to dispose of original paper records after scanning
 - Less than permanent retention: RC-140 or RC-145
 - Permanent or life of structure retention: RC-245



Disposition of Paper Records after Scanning



RC-140 Authorization to dispose of less-than-permanent paper records after <i>one-time scanning projects</i>	RC-145 Annual certification for <i>regularly disposing of less-than-permanent paper records</i>	RC-245 Certification for disposal of original <i>permanent/life of structure records</i> stored as digital images
<ul style="list-style-type: none">• IDEAL FOR: One-time scanning projects• Supersedes RC-108.1 form	<ul style="list-style-type: none">• IDEAL FOR: Records you are scanning regularly and comprehensively as they are received• Annual authorization to dispose of paper for certain record series as they are scanned during the course of business	<ul style="list-style-type: none">• Extended series of questions about digitization process and long-term digital preservation considerations• Requires information about internal processes for digitization, quality control, migration, and more• IDEAL FOR: Municipalities with dedicated IT support

Forms RC-140, RC-145, and RC-245



<https://portal.ct.gov/csl/departments/public-records/state-program/policies-forms>

**AUTHORIZATION FOR DISPOSAL OF ORIGINAL
NON-PERMANENT PAPER RECORDS STORED
AS DIGITAL IMAGES – STATE AGENCIES**

Form RC-140 (Revised 5/2024)



STATE OF CONNECTICUT
Connecticut State Library
Office of the Public Records Administrator
231 Capitol Avenue, Hartford, CT 06106
<https://ctstatelibrary.org/publicrecords>

AUTHORITY: State agencies in the Executive branch and certain quasi-public agencies must use this form to obtain approval for disposal of original non-permanent paper records stored as digital images in accordance with CGS §§ 11-8a; 1-13; 1-16 through 1-18; and *Public Records Memorandum 101: Disposition of Paper Records after Scanning (2024)*. All records proposed for disposition must be on an approved records retention schedule. If a record is not on a schedule, contact this office for further direction.

INSTRUCTIONS:

1. Use this form to request authorization to dispose of original non-permanent paper records that have been reformatted as digital images.
2. Fill out the form completely and legibly and email form to CSL.Disposition@ct.gov
3. The form must be signed by the Records Custodian and Records Management Liaison Officer (RMLO).
4. After approval by the State Archivist and the Public Records Administrator, a copy of the approved Authorization will be returned to the RMLO. Records may not be destroyed until the agency has received the signed Authorization.
5. At the time of disposal, the RMLO should record the actual date of disposition, attach any related supporting documentation (e.g., Certificate of Destruction or Transfer Agreement), and retain pursuant to ADMIN-059. Hard copy records should be destroyed by shredding.

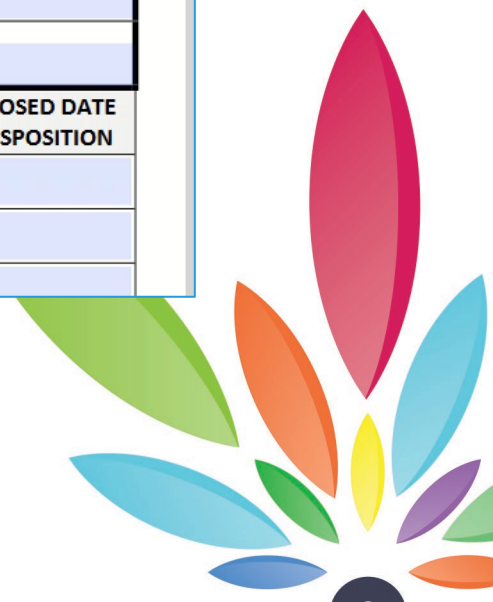
STATE AGENCY:	DIVISION / UNIT:	RMLO EMAIL ADDRESS (for return of form):
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By signing below, I certify that the paper records listed below have been reformatted as digital images and are being maintained in compliance with *Public Records Policy 4: Electronic Records Management*. The digital images have been inspected and found to be complete and accurate representations of the original records. Upon approved destruction of the paper records, the digital images will be designated as the official record copies. All digital images will be properly maintained and will remain accessible for the full retention period. I understand that this disposal request pertains to the paper copy of the records and that future disposal of the digital images will require prior authorization via the RC-108 form.

RECORDS CUSTODIAN (type or print):	JOB TITLE OF RECORDS CUSTODIAN (type or print):	RECORDS CUSTODIAN SIGNATURE:	DATE SIGNED:	PHONE:
RMLO (type or print):	JOB TITLE OF RMLO (type or print):	RMLO SIGNATURE:	DATE SIGNED:	PHONE:

RECORD SERIES NUMBER (e.g. ADMIN-015 or DAS-01-001)	RECORDS SERIES TITLE	DATES OF RECORDS		VOLUME OF RECORDS	PROPOSED DATE OF DISPOSITION
		FROM	THRU		
1.					
2.					
3.					

Form RC-140



**ANNUAL CERTIFICATION FOR DISPOSAL OF
ORIGINAL NON-PERMANENT PAPER RECORDS
STORED AS DIGITAL IMAGES – STATE AGENCIES**

Form RC-145 (Revised 5/2024)



STATE OF CONNECTICUT
Connecticut State Library
Office of the Public Records Administrator
231 Capitol Avenue, Hartford, CT 06106
<https://ctstatelibrary.org/publicrecords>

AUTHORITY: State agencies in the Executive branch and certain quasi-public agencies must use this form to obtain approval for disposal of original non-permanent paper records stored as digital images in accordance with CGS §§ 11-8a; 1-13; 1-16 through 1-18; and *Public Records Memorandum 101: Disposition of Paper Records after Scanning (2024)*. All records proposed for disposition must be on an approved records retention schedule. If a record is not on a schedule, contact this office for further direction.

INSTRUCTIONS:

1. Use this form to request pre-authorization to dispose of original non-permanent paper records stored as digital images for select records series. This form certifies that records will be digitized on an ongoing basis as part of standard business practices. This authorization only applies to records series approved on this form. For approval of records that have already been scanned, use form RC-140.
2. Fill out the form completely and legibly and email form to CSL.Disposition@ct.gov
3. The form must be signed by the Records Custodian and Records Management Liaison Officer (RMLO).
4. Renew certification annually by submitting the form to this office. Certification does not extend beyond the 12-month period.
5. After approval by the State Archivist and the Public Records Administrator, a copy of the approved Certificate will be returned to the RMLO. Records may not be destroyed until the agency has received the signed Certificate. A new Certificate must be submitted annually.

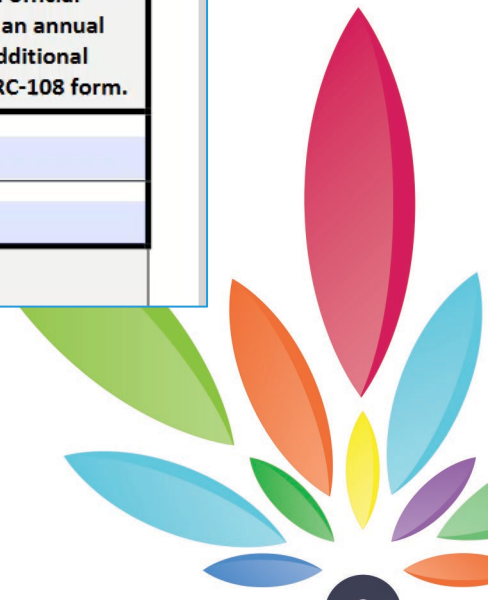
STATE AGENCY:	DIVISION / UNIT:	RMLO EMAIL ADDRESS (for return of form):

By signing below, I certify that the agency will digitize paper records of the below records series created or received between the 12-month period _____ to _____, and the digital images will be created and maintained in compliance with *Public Records Policy 4: Electronic Records Management*. The digital images will be inspected and found to be complete and accurate representations of the original records. Approved records series will be digitized on an ongoing basis as part of standard business practices, and the digital images will be designated as the official record copies. All digital images will be properly maintained and will remain accessible for the full retention period. This authorization is effective for one year; I understand I must submit an annual request to continue disposing of the original paper records. This authorization applies only to the below listed records series; I understand I must submit a new form for authorization of additional records series. I understand that this disposal request pertains to the paper copy of the records ONLY and that future disposal of the digital images will require prior authorization via the RC-108 form.

RECORDS CUSTODIAN (type or print):	JOB TITLE OF RECORDS CUSTODIAN (type or print):	RECORDS CUSTODIAN SIGNATURE:	DATE SIGNED:	PHONE:
RMLO (type or print):	JOB TITLE OF RMLO (type or print):	RMLO SIGNATURE:	DATE SIGNED:	PHONE:

RECORD SERIES NUMBER (e.g. ADMIN-015 or DAS-01-001)	RECORDS SERIES TITLE	RECORD SERIES NUMBER (e.g. ADMIN-015 or DAS-01-001)	RECORDS SERIES TITLE
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Form RC-145



**CERTIFICATION FOR DISPOSAL OF
ORIGINAL PERMANENT/LIFE OF
STRUCTURE RECORDS STORED AS DIGITAL
IMAGES**

Form RC-245 (Revised 5/2024)



STATE OF CONNECTICUT
Connecticut State Library
Office of the Public Records Administrator
231 Capitol Avenue, Hartford, CT 06106
<https://ctstatelibrary.org/publicrecords>

AUTHORITY: State agencies within the Executive branch; certain quasi-public agencies; towns, cities, boroughs, and districts; and other political subdivisions of the state (hereinafter “public agency/agencies” or “agency/agencies”) in Connecticut must use this certification to obtain approval to dispose of original paper permanent, life of structure, or “archival” ¹ records (hereinafter “permanent records”) stored as digital images, in accordance with CGS §§ 11-8a; 7-109; 1-13; 1-16 through 1-18, and *Public Records Memorandum 101: Disposition of Paper Records after Scanning (2024)*.

This certification documents the public agency’s compliance with the necessary requirements to ensure the digital records are accessible for the full records retention period. All proposed records must be on an approved records retention schedule; if a record is not on a schedule, the record may be digitized but the paper original cannot be disposed.

The certification should be completed with input from agency administration, records managers, and IT personnel. Public agencies must demonstrate adherence to ***Public Records Policy 04: Electronic Records Management***², ***Public Records Standards 04-1: Electronic Records***³, and ***Public Records Standards 04-2: Digital Imaging***⁴. If a public agency contracts with a vendor for imaging services, management, or storage of its electronic records, the agency is responsible for ensuring that the vendor complies with all certifications and specifications in this document. Agencies may attach additional pages as needed to ensure answers to the below questions are complete and comprehensive.

Approved certifications pertain to listed record series only. The public agency will evaluate, update, and resubmit this certification for approval **every 5 years** or under the following conditions, whichever comes first:

1. To reflect changes in information systems, scanning procedures, storage methods, or any other systems or workflows that could affect the quality, accessibility, or preservation of digital images produced under this certification,
2. Upon updates to retention periods or public records and digital preservation guidance,
3. When seeking approval for scanning and disposing of additional permanent record series, date groups, or sets other than those previously approved, or
4. When decommissioning a legacy system used to create or store any digitized permanent records.

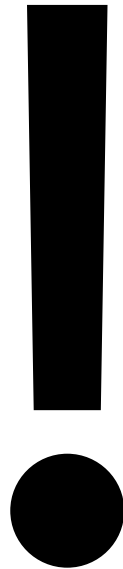
Form RC-245



Digital Imaging Reminders



- For reformatting of records that have **not** met retention
- No change to requirements to request destruction of records at end of retention period
 - Submit the RC-108 for authorization, per PRP 05: Disposition of Public Records
- PRP 04 does not override existing statutes, regulations, or policies that dictate a requirement to maintain hard copy records
- All digitization forms require certifying that agencies have **internal policies and procedures** governing digitization and electronic records management
- No blanket permission to scan and dispose; authorization must be tied to approved record series



Disposition of Damaged Records



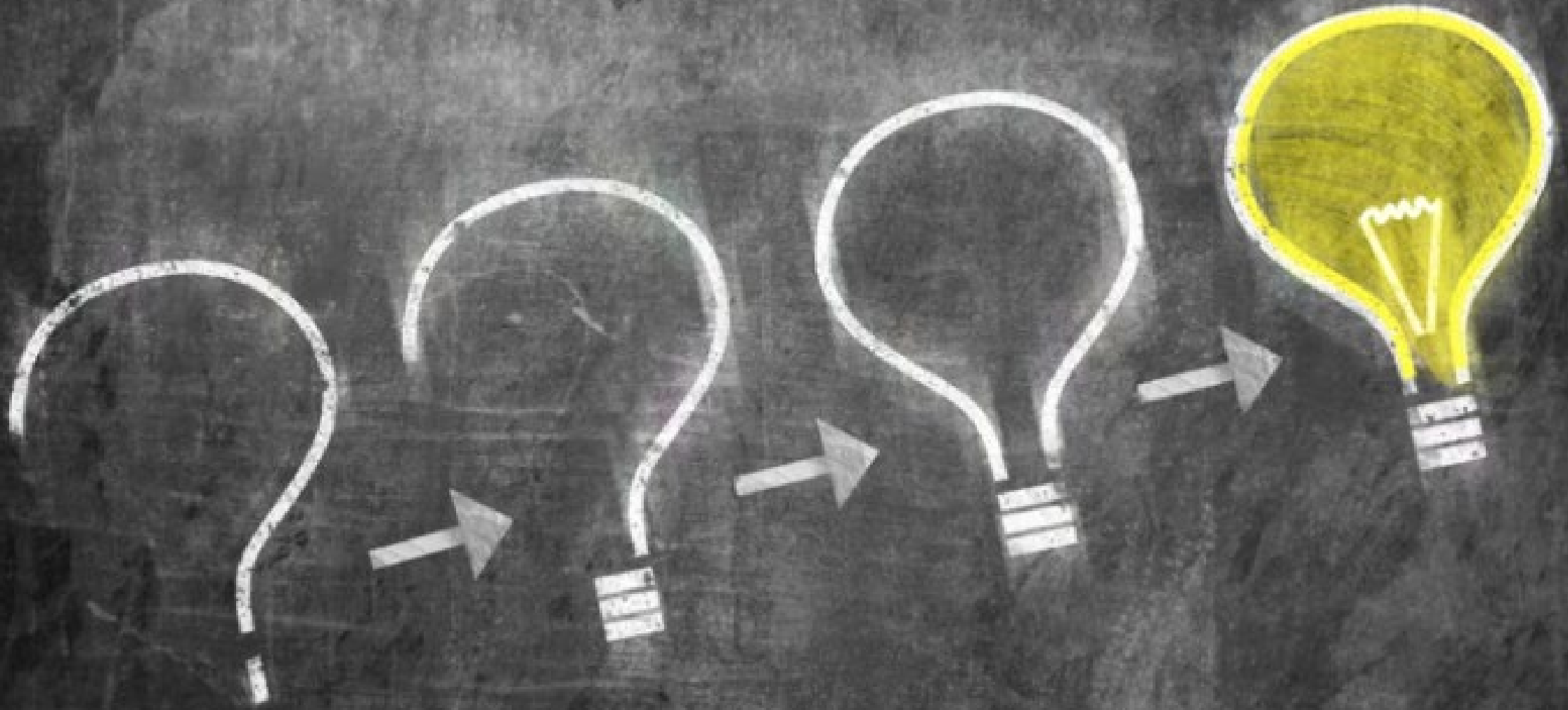
- In event of disaster:
 - Contact OPRA upon discovery
 - Recover records where possible
 - Restoration companies
 - Document damage
 - Obtain permission to dispose of damaged records
 - Additional documentation required for records that have not met retention



Next Session:



- *State Records Center: Storage & Retrieval (December 11)*
- *2025 sessions TBD, including:*
 - *Electronic Records*
 - *State Archives*
 - *Disaster Preparedness*
 - *And more!*



Questions?





CT State Library

Office of the Public Records Administrator

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State Records Management Program:

<https://portal.ct.gov/csl/departments/public-records/state-program>