



CT State Library

Office of the Public Records Administrator

**State Records Management Training
Session 3**

**STATE RECORDS CENTER:
STORAGE & RETRIEVAL**

December 11, 2024

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

Presenter



- **Elise Marzik**
Records Management Specialist

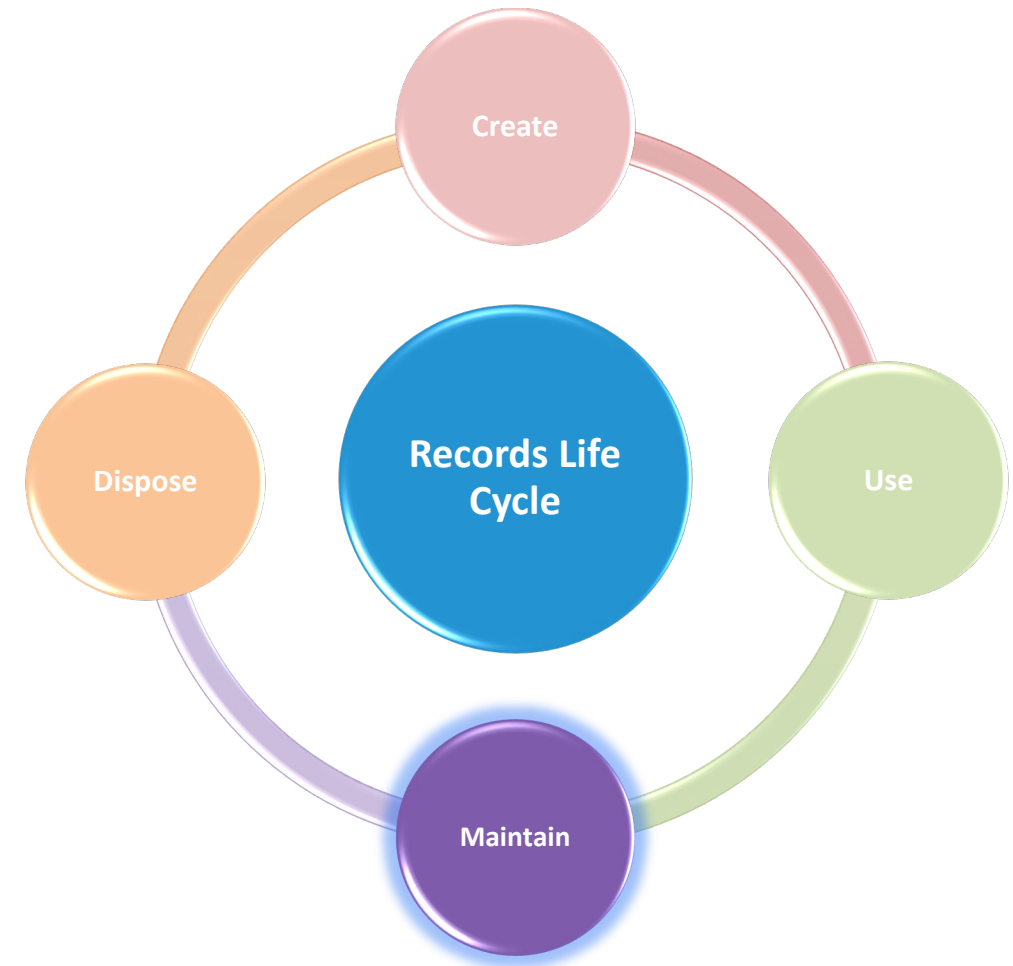
Office of the Public Records Administrator
Connecticut State Library

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

Agenda



- Records Storage
- State Records Center
- Records Transfer
- Records Retrieval
- Records Destruction





The Connecticut State Library, Office of the Public Records Administrator, is responsible for supervising the operation of state records centers and approving public records storage facilities (pursuant to CGS §11-8)

Records Storage



Types of Records Storage



- On site storage
 - Office files
 - Centralized storage
- Off site storage
 - Agency operated records center
 - Commercial records center
 - State Records Center
 - *Public Records Policy 03: Standards for Public Records Storage Facilities*



*On site central file storage



*Records warehouse

Off-site Records Storage Guidelines



- Check the records schedules – If the records have already met the retention period, don't send them
- Only send “inactive records” – records that are no longer needed to conduct current business
- Inventory or get a container list **prior** to sending the records
- Commercial Storage
 - Records Schedules
 - Obtain permission to destroy (RC-108)
 - Conduct regular audits

State Records Center



State Records Center



- Address: 198 West Street in Rocky Hill
- Hours: Monday – Friday, 8:00 a.m. to 4:00 p.m.
- Not open to public, authorized state personnel only
 - Contact Records Center for access
- Storage Capacity: 75,000+ cubic feet
- Security: Secure Facility
- Staff: 2
- Cost: No charge for any services (records storage, retrieval, destruction)
- <https://portal.ct.gov/csl/departments/public-records/state-program/state-records-center>
- CSL.RecordsCenter@ct.gov

State Records Center



State Records Center



*Shelving at Records Center

State Records Center



*Shelving at Records Center

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



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

[Municipal General Retention Schedules](#)

[Historic Documents Preservation Program](#)

[State Records Program](#)

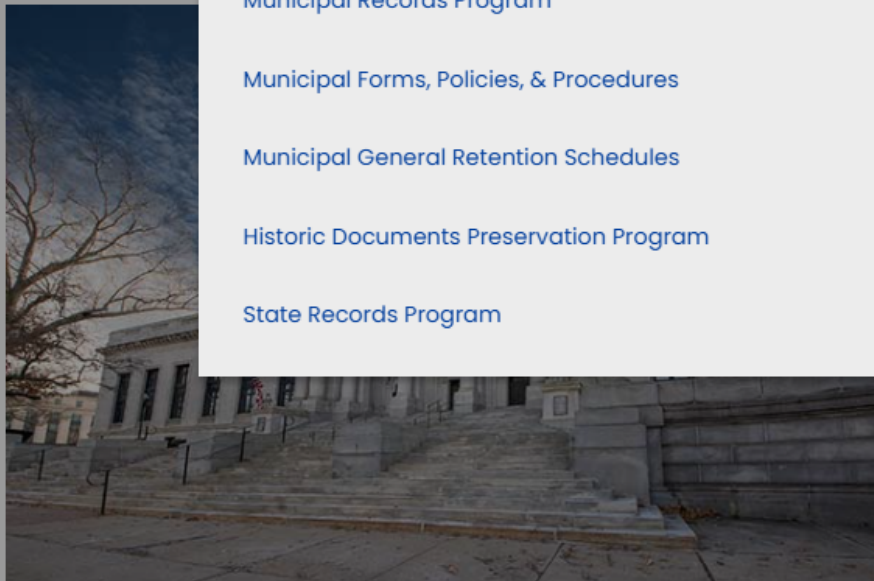
[State Forms, Policies, & Procedures](#)

[State General Retention Schedules](#)

[State Agency Specific Retention Schedules](#)

[State Records Center](#)

[Essential Records Program](#)



heritage, and much more.

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Address: 231 Capitol Avenue, Hartford, CT 06106

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

State Records Center Facility

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

The State Records Center is **not open to the general public**. Authorized state agency personnel must contact the Records Center to access records. The facility is staffed from 8:00 a.m. to 4:00 p.m. during weekdays (except for state holidays/closed days).

State Records Center Policy & Forms

- [PRP 10: Transfer and Storage of Records at the State Records Center](#)
- [Form RC-100: State Records Center Storage List](#)
- [Form RC-200: State Records Center Reference Request](#)

Contact and Location

Email: CSL.RecordsCenter@ct.gov

Phone Number: 860-721-2041

Address: 98 West Street, Rocky Hill, CT 06067

Directions:

From I-91 - Take Exit 23 West Street, Rocky Hill.

At end of ramp, turn left if southbound, or right if northbound, onto West Street.

Go past Dinosaur State Park followed by going through the stoplight at the entrance to the Veterans Home and Hospital.

At the next driveway, turn on your right and then follow the driveway.

The State Records Center will be first building on the left.

Parking:

Free parking is available.

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



Forms, Policies, & Procedures >

Forms, policies, and procedures for the State Records Management

State General Retention Schedules >

Records Retention Schedules show how long records must be stored

State Agency Specific Retention Schedules >

Records Retention Schedules show how long records must be stored

Ask Public Records Administration >

For questions on managing public records (retention, disposition, etc)

Records Transfer



Public Records Policy 10



- *Public Records Policy 10: Transfer and Storage of Records at the State Records Center*
 - Outlines the guidelines for transferring records, as well as accessing stored records and ultimate disposition of records
- Agency remains the record custodian – we act as the temporary custodian
 - We do not have decision making authority over agency records
- Agency can access records at any time during normal business hours
 - Contact Records Center to request records or to arrange access

Determine What is Eligible to Transfer



- Accepted records:
 - On an active records retention schedule
 - Less-than-permanent
 - Permanent records may be transferred to State Archives*
 - Inactive records only
 - Paper format
- Minimum storage period is 2 years
- The Records Center does not provide temporary storage
- Records sent to the Records Center are expected to be destroyed at the end of their retention period
- Records sent to RC is with intent to destroy when eligible

*State Archives records transfer is a different process; managed by State Archives staff

Records Transfer Procedure



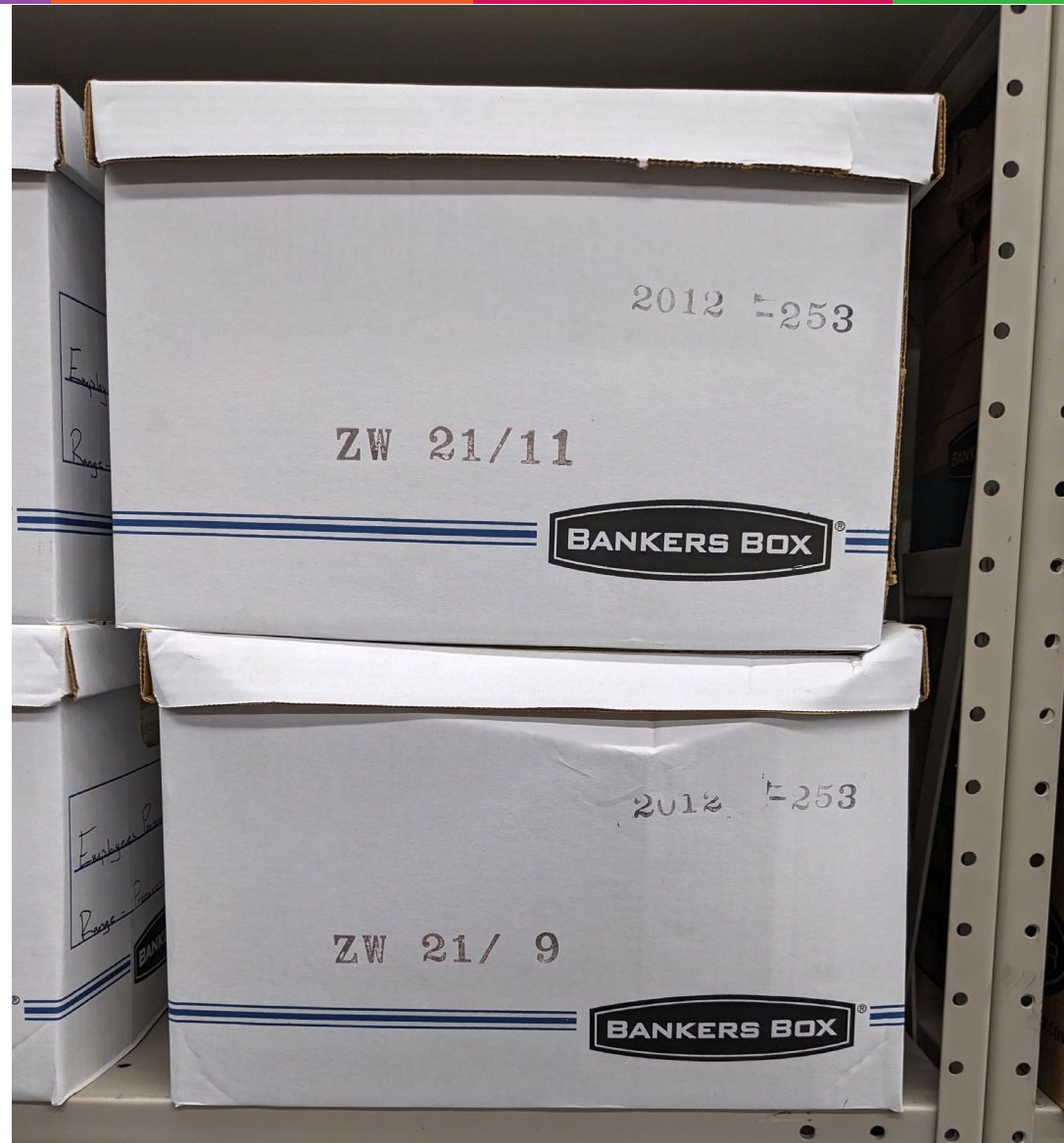
1. Obtain Approved Boxes
2. Pack & Label Boxes
3. Complete Form RC-100
4. Submit Completed Form RC-100
5. Deliver the Boxes

1. Obtain Approved Boxes



- Box requirements:
 - Standard 1.0 cubic foot record carton
 - Inside dimensions: 12”(w) x 15”(d) x 10”(h)
 - Letter-size files along 12” side
 - Legal-size files along 15” side
 - Multilayered corrugated double-walled cardboard on all sides
 - Stacking weight at least 800 lbs
 - Removable lift-off lid with reinforced hand holds
- List of approved boxes in PRP 10
 - Check with RC for exception if unlisted box meets above requirements
- Vendor(s) on state contract

Unapproved Box



*Real boxes stored at Records Center

2. Pack & Label Boxes



- Packing:
 - Pack records with same retention period and destruction year together
 - Place folders upright in box (do not stack)
 - Do not overpack
 - Weight limit is 30lbs
 - Leave ~1"-1.5" of space in box for interfiling
 - No 3 ring binders (cannot be shredded)
 - No hanging folders

2. Pack & Label Boxes



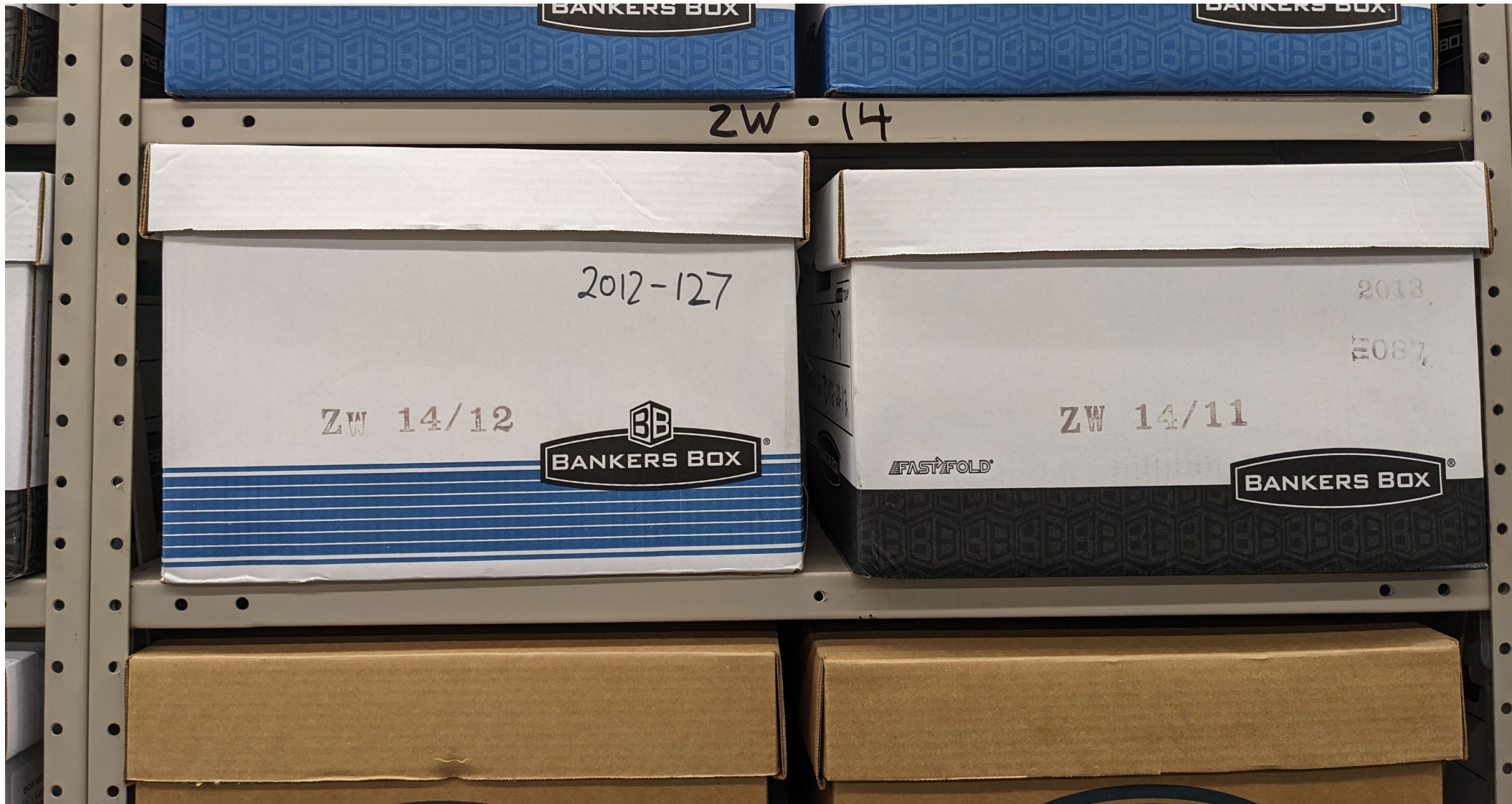
- Labeling:
 - Label on 12” side of box in small writing
 - Write directly on box with permanent marker
 - Include box number and range (alpha or numerical)
 - We do not need anything else
 - No confidential information
 - Do not use tape/sticky notes
 - May use a box label sticker

Packed box



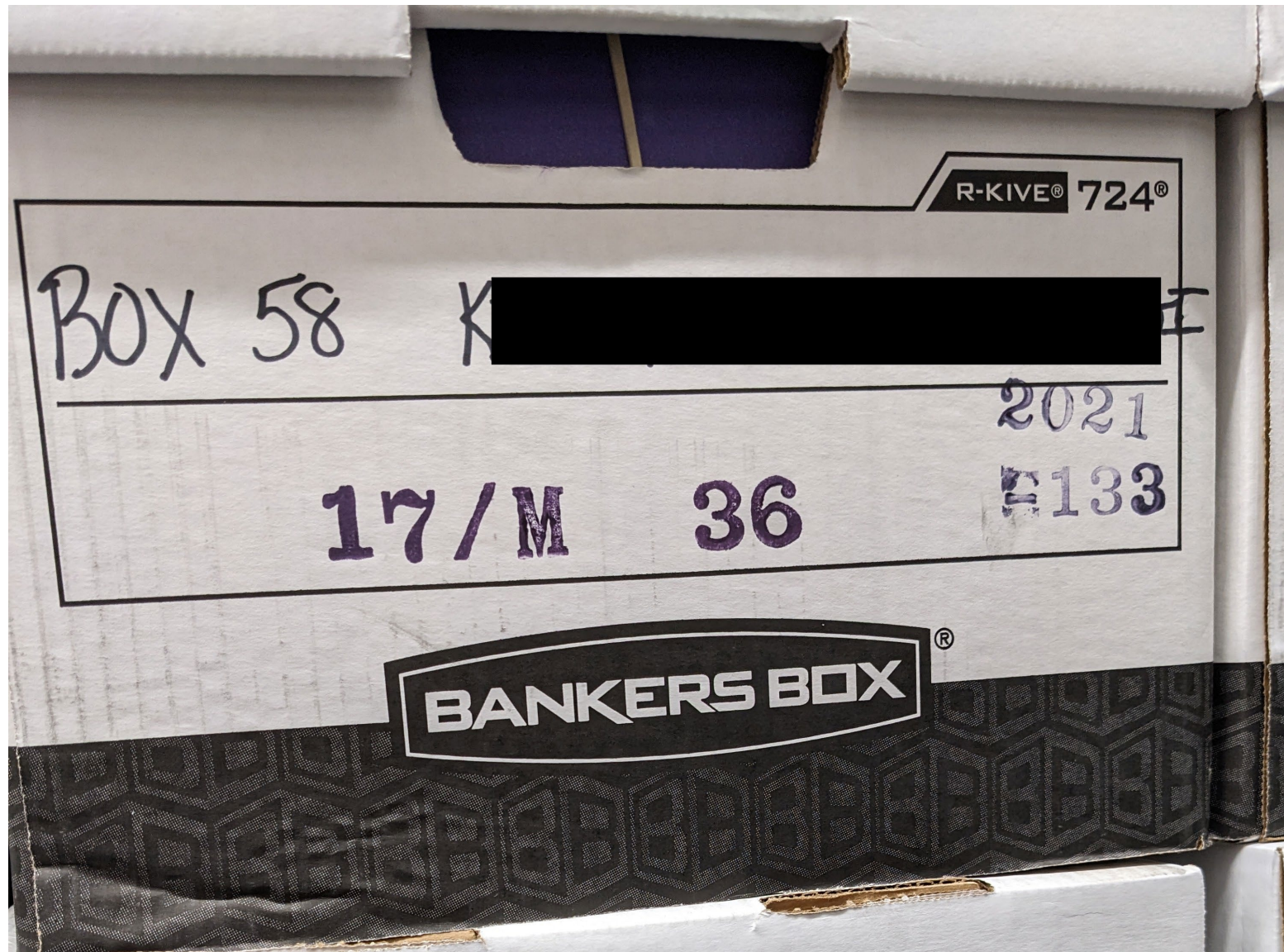
*Actual box stored at Records Center

Improperly packed box



*Actual boxes stored at Records Center

Box Label



*Actual box stored at Records Center, content redacted

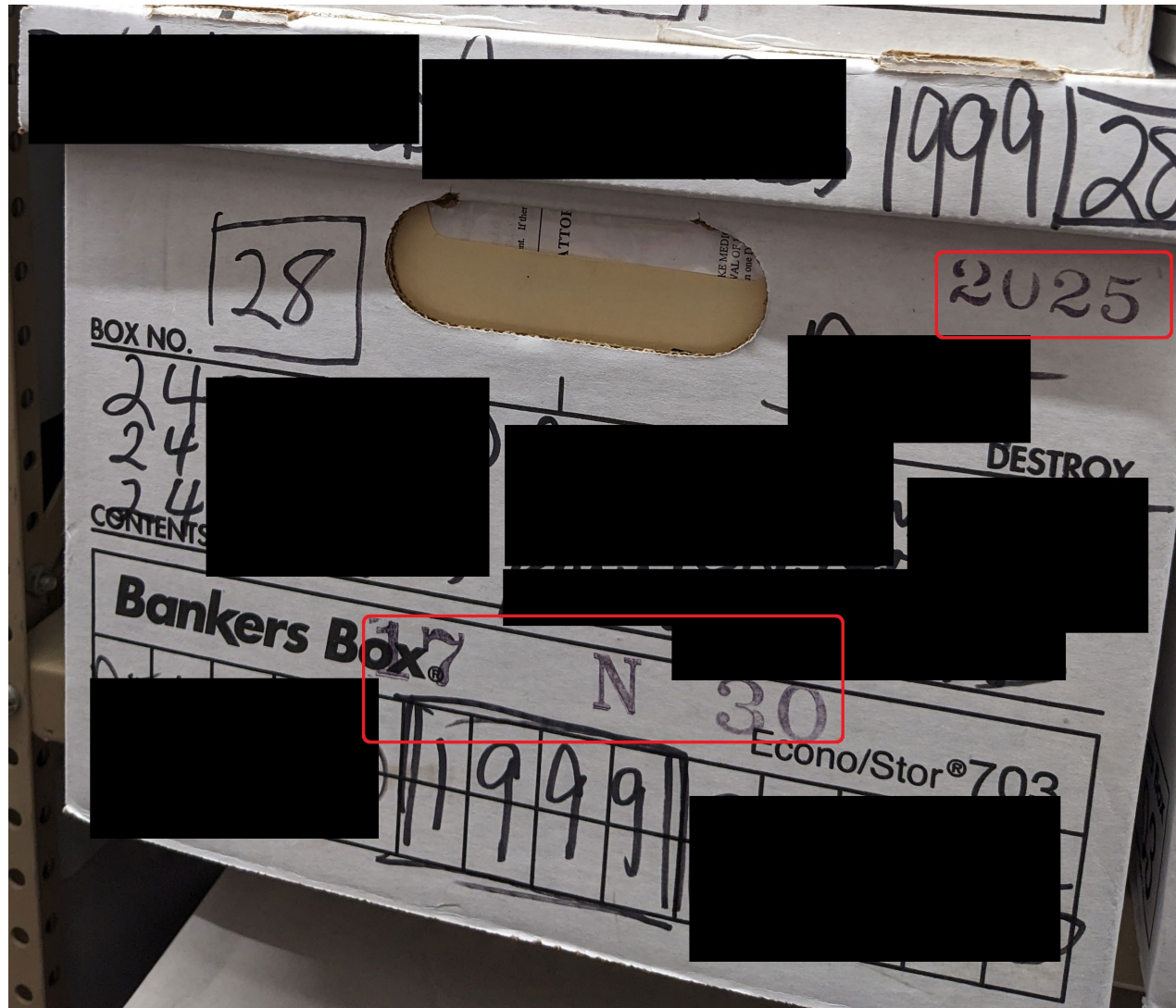
Sticker Label



BOX NO. RA16-121		[REDACTED]	1/2024	DESTROY
FILE RANGE	[REDACTED]			
DATE RANGE	[REDACTED]			
FILE NAME	[REDACTED]			
FOR RECORD CENTER ONLY				
AGENCY NAME	[REDACTED]			
UNIT NAME	[REDACTED]			

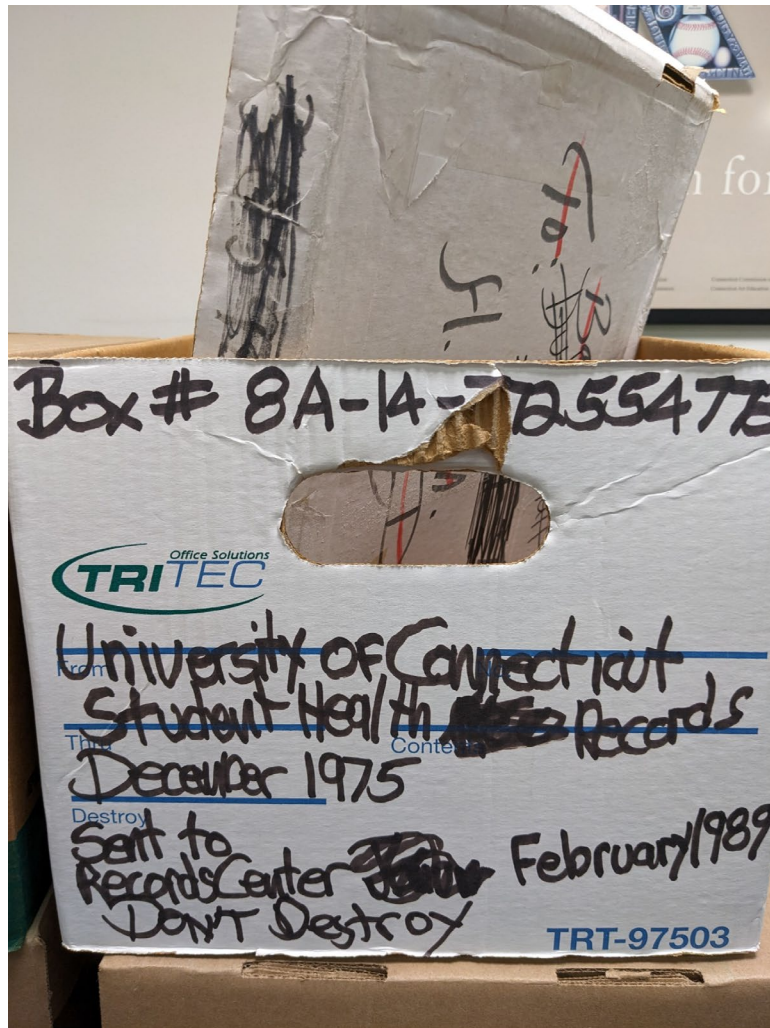
*Actual box stored at Records Center, content redacted

A decorative graphic at the bottom of the page consisting of several stylized leaves in various colors (green, blue, orange, red, yellow, purple) arranged in a fan-like shape.



*Actual box stored at Records Center, content redacted

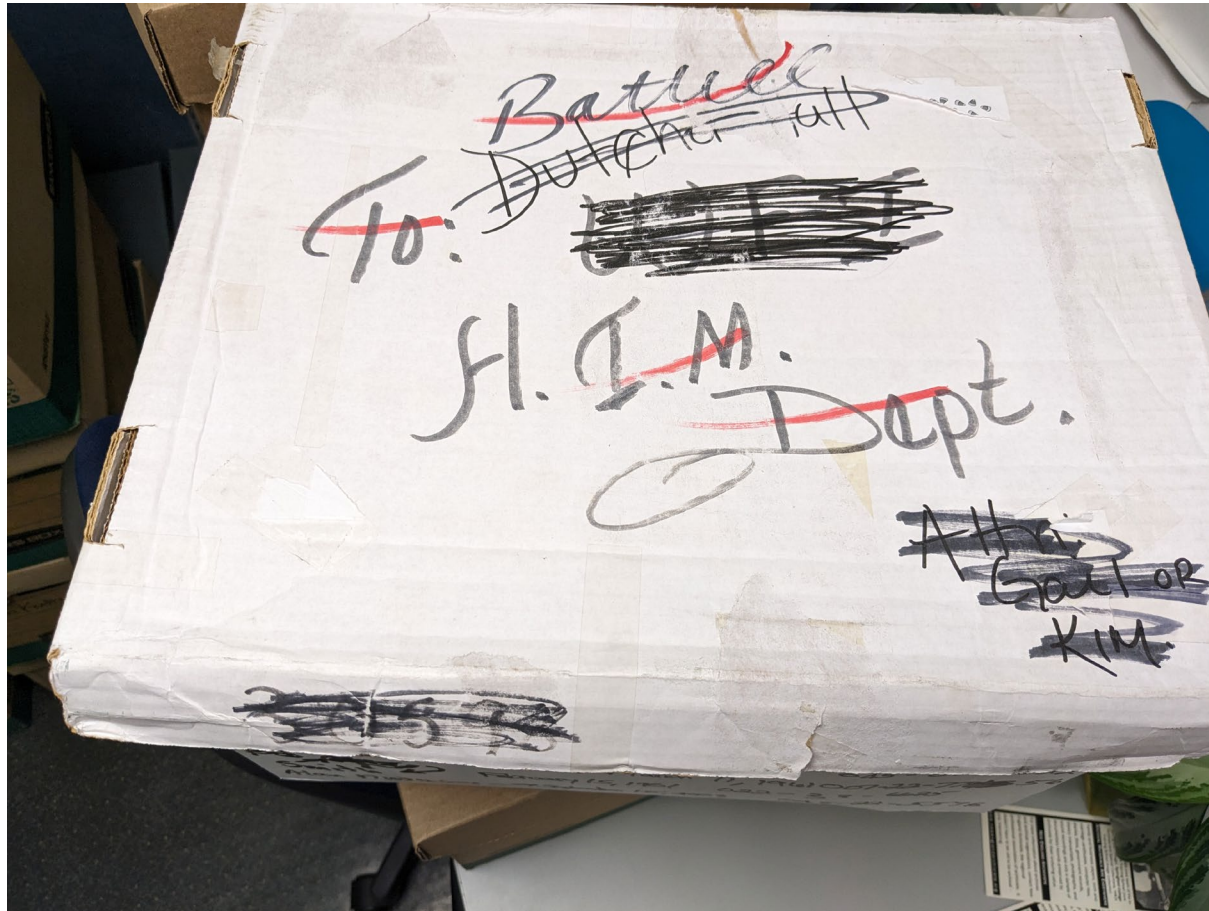
What Not to Do



<u>Name</u>	<u>Date of Birth</u>	<u>Social Security Number</u>
Mary Smith	December 27, 1967	[REDACTED]
John Doe	April 31, 1942	[REDACTED]
John Adams	March March 11, 1961	[REDACTED]
Bob Adams Smith	February 15, 1961	[REDACTED]
Alan Anderson	September 15, 2003	[REDACTED]

***This is a FAKE BOX for demonstration purposes**

What Not to Do



***This is a FAKE BOX for demonstration purposes**




3. Complete Form RC-100



- Complete the State Records Center Storage List (Form RC-100)
- Form is available at <https://portal.ct.gov/csl/-/media/CSL/departments/public-records/State-Records-Management-Program/DOC/Form-RC-100.docx>
- If sending multiple sets of boxes, do not need to start over with #1 on each page (does not need to be 1-5, 1-7, 1-10, etc, do 1-5, 6-13, etc)
- 15 page form with up to 12 boxes per page
- Records on same page must be same series and same destruction date
- Series must be on an approved records retention schedule
- Do not include confidential information

Form RC-100



STATE RECORDS CENTER STORAGE LIST Form RC-100 (Revised 04/2011)				Connecticut State Library Office of the Public Records Administrator State Records Center 198 West Street Rocky Hill, CT 06067 http://www.ctstatelibrary.org		P: (860) 721-2041 F: (860) 721-2055 E: CSL.RecordsCenter@ct.gov		ACCESSION NO.: 	DATE RECORDS TRANSFERRED:
INSTRUCTIONS: <ul style="list-style-type: none"> See Public Records Policy 10: Transfer and Storage of Records at the State Records Center. All records listed on this page must adhere to the same records series and have the same destruction year. List each box individually (one box per row), providing a brief description, range of contents, inclusive dates of records, and box number. Complete this form electronically and submit it via e-mail to CSL.RecordsCenter@ct.gov. Staff will contact you to schedule a shipment date. If you are a "covered entity" under HIPAA, you should implement technical security measures to guard against unauthorized access to ePHI. 									
AGENCY (include division and address): <div></div>					RMLO OR AUTHORIZED AGENCY PERSONNEL: <div></div>				
					RMLO PHONE: <div></div>			PAGE <div></div> OF <div></div>	
RECORDS SCHEDULE & SERIES NO. (e.g., S1-015): <div></div>			RECORDS SERIES TITLE (as shown on authorizing records schedule, e.g., Accreditation Records): <div></div>				DESTRUCTION YEAR: <div></div>		
	DESCRIPTION OF RECORDS (as needed)	RANGE OF RECORDS (alphabetical or numerical)	DATES OF RECORDS FROM THRU		BOX NUMBER	RECORDS CENTER LOCATION NO.			
1.	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>				
2.	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>				
3.	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>				

4. Submit Completed Form RC-100



- RMLO should submit the form as an attachment to an e-mail and send to CSL.RecordsCenter@ct.gov
- Sent as word file
- Typed information
- **DO NOT:**
 - Convert to PDF
 - Handwrite
 - Print & scan
 - Sign form
- We will respond with available shipment dates

5. Deliver the Boxes



- Deliver the Boxes
 - We do not pick up boxes
 - Agency must deliver
- Boxes need to be pulled out from shipment in exact order as listed on RC-100
- 150 boxes on conveyer at a time

Records Center Processing



- Upon delivery:
 - Boxes stamped with accession numbers
- Boxes are assigned numbers based on location
- Box numbers and locations are checked several times to confirm
- Locations and accession numbers are written on the RC-100 and returned to the agency
 - Keep RC-100 with accession number for your records

Records Center Processing



*Video of actual boxes stored at Records Center

Records Center Processing



*Actual boxes stored at Records Center

Completed RC-100



- Keep this for your records!
- Accession # necessary for retrieval

*example of actual RC-100 with location information, content redacted

Connecticut State Library Office of the Public Records Administrator State Records Center			ACCESSION NO.: 561	
Street P: (860) 721-2041 CT 06067 F: (860) 721-2055 www.cslib.org/publicrecords E: CSL.RecordsCenter@ct.gov			DATE RECORDS TRANSFERRED:	
State Records Center, at www.cslib.org/publicrecords/records.htm . es and have the same destruction year. ption, range of contents, inclusive dates of records, and box number. RecordsCenter@ct.gov . Staff will contact you to schedule a shipment date. If chnical security measures to guard against unauthorized access to ePHI.				
RMLO OR AUTHORIZED AGENCY PERSONNEL: [REDACTED]				
RMLO PHONE: [REDACTED]			23	
shown on authorizing records schedule, e.g.,			PAGE 1 OF 2	
ds			DESTRUCTION YEAR: 2034	
DATES OF RECORDS		BOX NUMBER	RECORDS CENTER LOCATION NO.	
FROM	THRU			
3/5/2023	3/5/2023	47	XH-14/13	
3/5/2023	3/5/2023	48	14	
3/5/2023	3/5/2023	49	15	

Records Retrieval



Retrieval/Accessing Records



- Only authorized agency representatives can access or retrieve records
- You must submit a *State Records Center Reference Request* (Form RC-200) to request access
 - Typed, electronic
 - New form for each request
 - **Do not** convert to pdf or print/scan
 - Once you have completed the form, we will process the request
- Delivery Method:
 - DAS Courier Service (3x/week, not all agencies, list at RC)
 - Same day Pick-up, or In person review

Form RC-200



STATE RECORDS CENTER REFERENCE REQUEST

Form RC-200 (Revised 04/2011)



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

198 West Street
Rocky Hill, CT 06067
<http://www.ctstatelibrary.org/>

P: (860) 721-2041
F: (860) 721-2055
E: CSL.RecordsCenter@ct.gov

INSTRUCTIONS:

- Use this form to request retrieval or permanent removal of records from the State Records Center. Send the request as an e-mail attachment to CSL.RecordsCenter@ct.gov. For emergency or time-sensitive requests, you can also call in your request. Use the "Permanent Withdrawal" column to indicate if the file/box will be returned to Agency Control permanently. If you are a "covered entity" under HIPAA, you should implement technical security measures to guard against unauthorized access to ePHI.

AGENCY (include division): <input type="text"/>	PERSON COMPLETING FORM: <input type="text"/>	DATE OF REQUEST: <input type="text"/>
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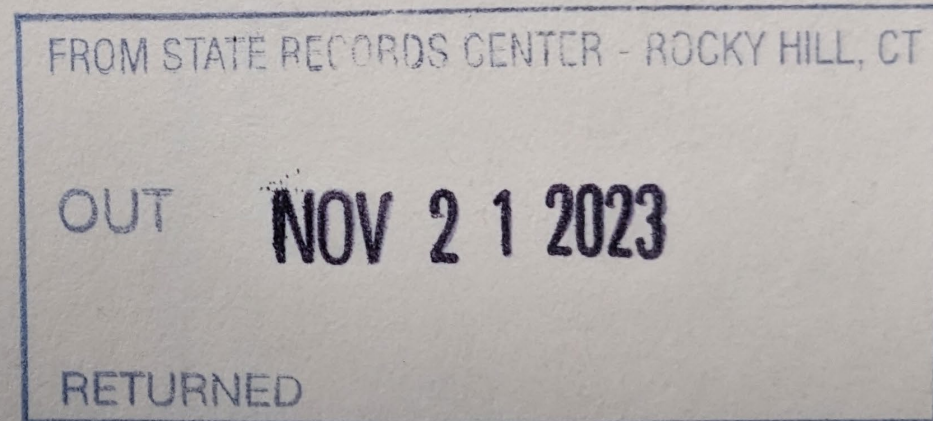
AGENCY ADDRESS (for courier deliveries): <input type="text"/>	PHONE: <input type="text"/>
---	---------------------------------------

	DESCRIPTION (file name / file no. / box no.)	RECORDS CENTER LOCATION NO.	RC-100 ACCESSION NO.	FILE OR BOX	DELIVERY METHOD	PERMANENT WITHDRAWAL	SENT	REASON NOT FILLED	DATE RETURNED TO RECORDS CENTER
1.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		
2.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		
3.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		
4.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		
5.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		
6.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		
7.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		
8.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> FILE <input type="checkbox"/> BOX	<input type="checkbox"/> COURIER <input type="checkbox"/> PICKUP	<input type="checkbox"/>	<input type="checkbox"/>		

Tracking



- We stamp folder or box that is removed
- Very meticulous on tracking location of records
 - Agency still owns records



Returning/Adding Records



- Re-file
 - Upon return, we will re-file the records in the appropriate box
- Inter-file:
 - You may send files to be added to boxes that have already been stored
 - Make sure to have box accession information
 - Individual documents: agency must request return of box
 - RC staff will interfile complete file/folder, provided adequate space in box
 - Confidential records must be filed by agencies

Records Destruction



Destruction Procedures



- Records Center staff will send RC-100 to RMLO for approval once records are eligible for destruction
- RC-100 is reviewed by State Archivist and Public Records Administrator
- Eligible records will be destroyed by a commercial vendor to confidentially shred
- Agency will receive a revised copy of the RC-100 with all signatures and destruction date; RMLO should retain along with RC-108
- Note: if agency is not destroying all records on the RC-100 form, they will need to submit a new RC-100
 - May need to send records back to agency for new transfer
- Sending out now for 2025 destruction

Form RC-100 for Destruction



11.						
12.						

DESTRUCTION AUTHORIZATION

These records have fulfilled the minimum retention period and are now eligible for destruction. Your written approval for such action is required. If there are any records you do not want to destroy at this time, circle the box number and indicate "Do Not Destroy." You may also request the return of individual files. Any such identified records will not be destroyed and will be returned to agency control. By signing this form, you attest that no records listed, in your opinion, pertain to any pending case, claim, or action.

Authorized Agency Representative:

(Signature)

(Date)

DESTRUCTION REVIEWED AND APPROVED BY:

State Archivist:

(Signature)

(Date)

Public Records Administrator:

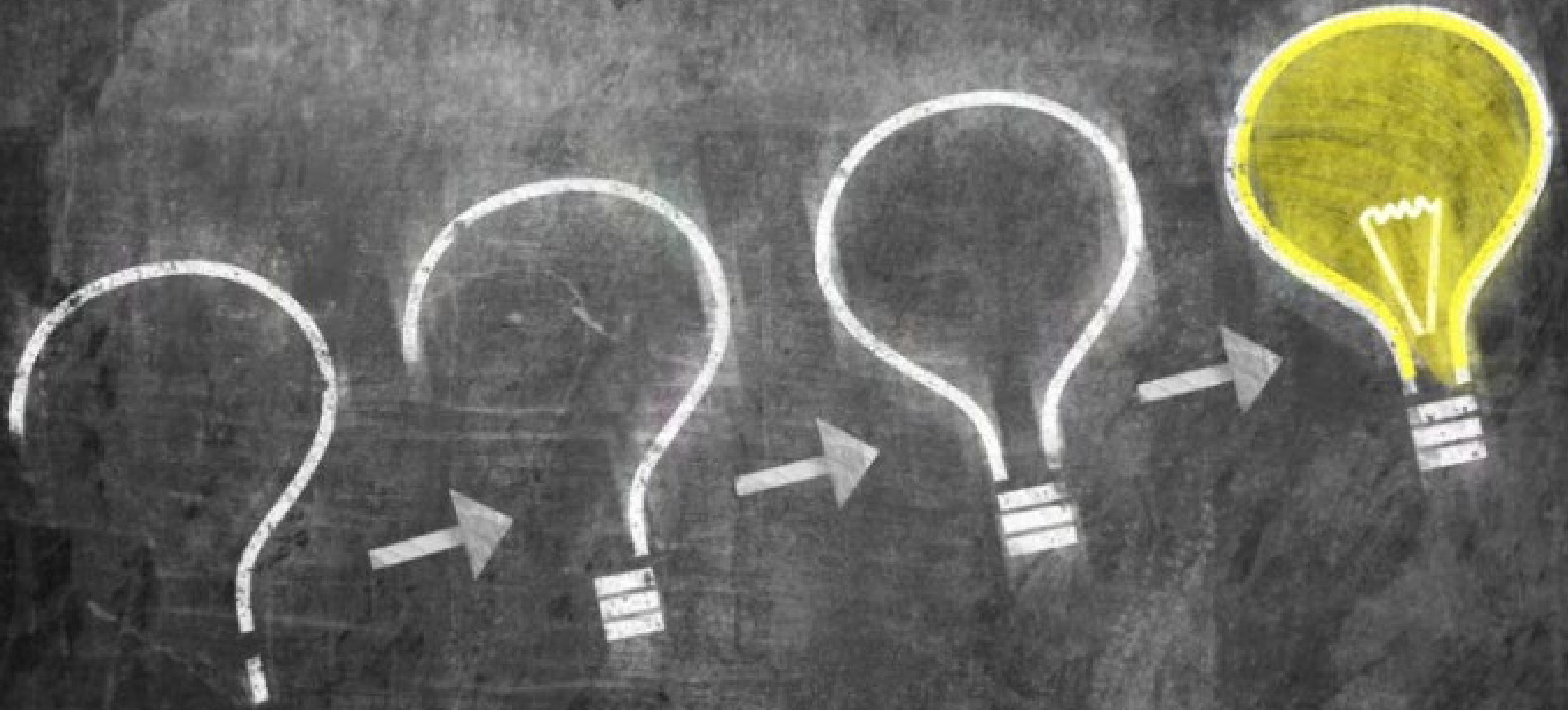
(Signature)

(Date)

Series Continues February 2025



- *Dates TBD, sessions including:*
 - *Electronic Records*
 - *State Archives*
 - *Disaster Preparedness*
 - *And more!*



Questions?





CT State Library

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State Records Management Program:

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