

# **Records Management Essentials**

**for**

**Inland Wetlands & Aquifer Protection Officials**

**October 30, 2014**

**Presented by**

**Lizette Pelletier, State Archivist,**

**on behalf of the Office of the Public Records Administrator**

© 2014 Connecticut State Library

# Agenda

- Introduction
- Records Management Concepts
- Records Retention Schedule M10
- Managing Records
- Records Disposition
- Disaster Preparedness



# INTRODUCTION



Name ^	Size	Type
o8877	3,127 KB	Adobe Acrobat Document
o882501	391 KB	Adobe Acrobat Document
o1708801	1,619 KB	Adobe Acrobat Document
o1873310	2,111 KB	Adobe Acrobat Document
o2123261	1,678 KB	Adobe Acrobat Document
o2129235	474 KB	Adobe Acrobat Document
o2129264	1,233 KB	Adobe Acrobat Document
o3025329	1,867 KB	Adobe Acrobat Document
o3599658	2,621 KB	Adobe Acrobat Document
o3814068	2,364 KB	Adobe Acrobat Document
o3915974	2,452 KB	Adobe Acrobat Document
o3918429	2,585 KB	Adobe Acrobat Document
o4048758	2,413 KB	Adobe Acrobat Document
o4752975	2,008 KB	Adobe Acrobat Document
o5836005	948 KB	Adobe Acrobat Document
o9243794	1,746 KB	Adobe Acrobat Document
o9259190	3,261 KB	Adobe Acrobat Document
o9267119	1,762 KB	Adobe Acrobat Document
o11426903	811 KB	Adobe Acrobat Document
o12698499	3,211 KB	Adobe Acrobat Document
o14186821	1,168 KB	Adobe Acrobat Document
o14745883	1,483 KB	Adobe Acrobat Document
o14871493	3,908 KB	Adobe Acrobat Document
o17511565	950 KB	Adobe Acrobat Document
o18480618	2,390 KB	Adobe Acrobat Document
o18911647	2,033 KB	Adobe Acrobat Document
o18955068	5,762 KB	Adobe Acrobat Document
o22249712	1,156 KB	Adobe Acrobat Document
o24597465	3,287 KB	Adobe Acrobat Document
o24993001	417 KB	Adobe Acrobat Document
o25042686	1,526 KB	Adobe Acrobat Document
o34091490	235 KB	Adobe Acrobat Document
o34673293	591 KB	Adobe Acrobat Document
o35023951	6,367 KB	Adobe Acrobat Document
o39869068	6,919 KB	Adobe Acrobat Document
o41341368	188 KB	Adobe Acrobat Document
o41342030	281 KB	Adobe Acrobat Document
o42418957	795 KB	Adobe Acrobat Document
o44114847	1,888 KB	Adobe Acrobat Document
o44512457	803 KB	Adobe Acrobat Document
o44566118	1,337 KB	Adobe Acrobat Document
o44886813	84 KB	Adobe Acrobat Document
o47259507	2,796 KB	Adobe Acrobat Document
o50131178	434 KB	Adobe Acrobat Document
o50145988	858 KB	Adobe Acrobat Document
o50153767	893 KB	Adobe Acrobat Document
o51071319	159 KB	Adobe Acrobat Document
o51464213	253 KB	Adobe Acrobat Document

# Why Records Management Matters

- **Protect the municipality** in the event of
  - Legal action
  - Disaster
- **Improve government accountability**
- Help employees **respond to FOI requests**
- **Increase efficiency** of office operations
  - Reduces the volume of stored records
  - Helps employees locate what they need
  - Improves storage and retrieval systems
- **Reduce costs** for equipment, space, and personnel

# Statutory Requirements

- Municipal Records Management Program
  - § § 11-8 and 11-8a [*Authority / Responsibilities*]
- Records Defined
  - § § 1-16 through 1-18 [*Original v. reproduction*]
  - §1-200 (5) [*“public records or file”*]
  - §1-267 (7) [*“electronic record”*]
  - §1-282 [*Authority over electronic records*]
- Records Maintenance
  - § 4-193 (b) [*Protection of personal data*]
  - § 4-193 (e) [*Maintain only what is necessary*]

# Statutory Requirements

- Disposition of Municipal Records
  - Sec. 7-109 *Destruction of documents*
  - Sec. 11-8a *Destruction and transfer of documents*
- Unlawful Removal or Alteration of Records
  - Sec. 1-240 (a) *[Penalties - Misdemeanor]*
  - Sec. 53-153 *[Removal or alteration of records]*
  - Sec. 53a-119 (12) *[Larceny definition includes library theft]*
  - Sec. 53a-124(a)(3) *[Definition Class D Felony]*

# Departmental Responsibilities

- Identify functions
- Inventory records
- Obtain authorization to dispose of records
- Destroy records by appropriate method
- Preserve historical records
  - Transfer to the State Archives or another approved archival facility



# Employee Responsibilities

- Be aware of records management requirements
  - Public Records Policy 05
  - Records Retention Schedules
- Retain records until eligible for disposition
- Ensure records are disposed of after receiving authorization

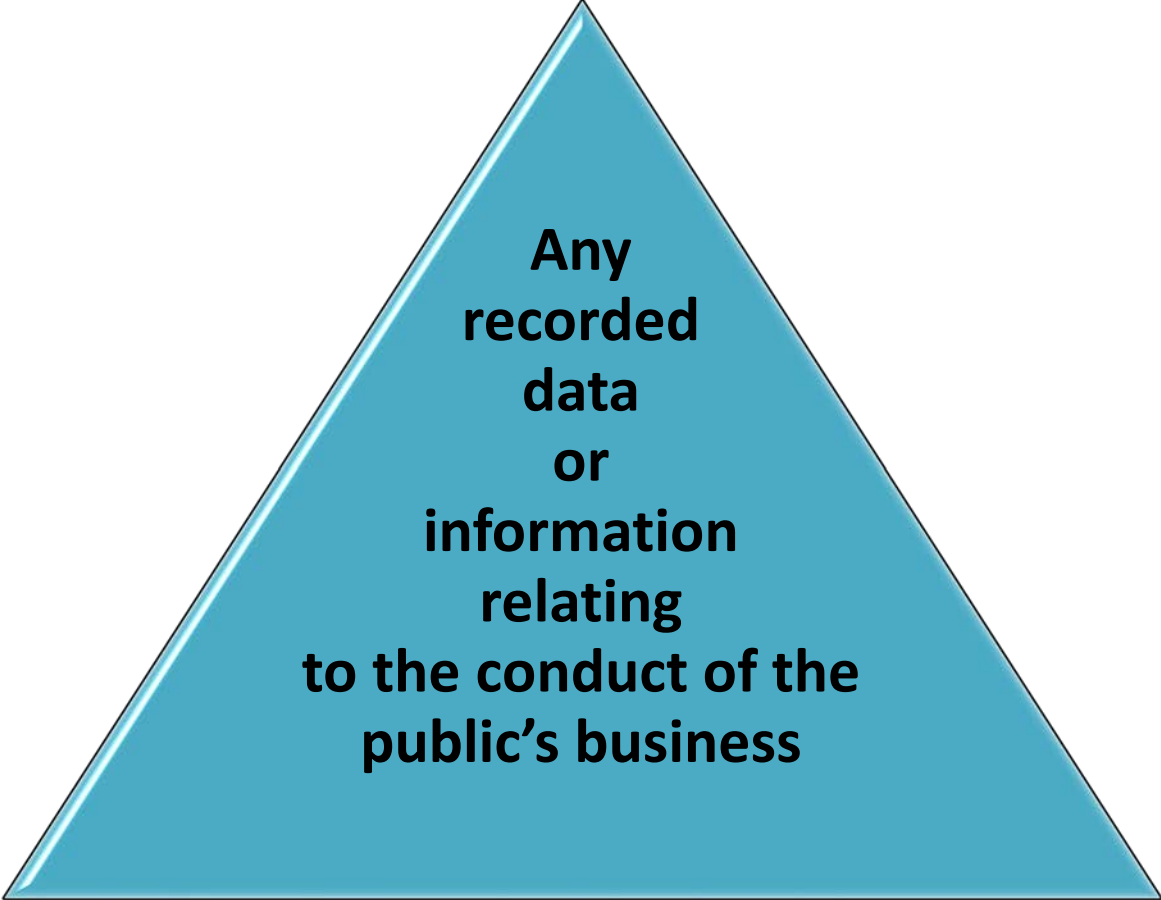




# RECORDS MANAGEMENT CONCEPTS

# Public Records

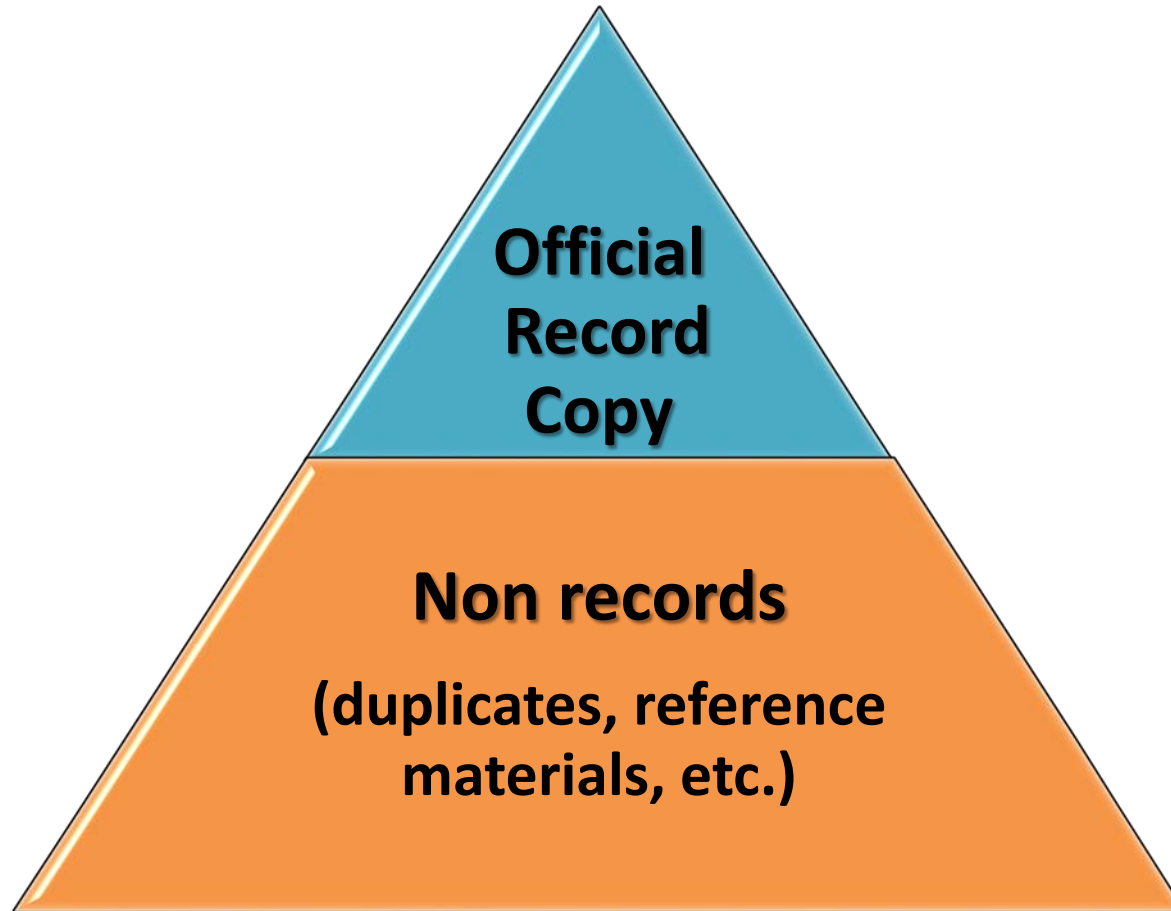
(General Statutes of Connecticut §1-200 (5))



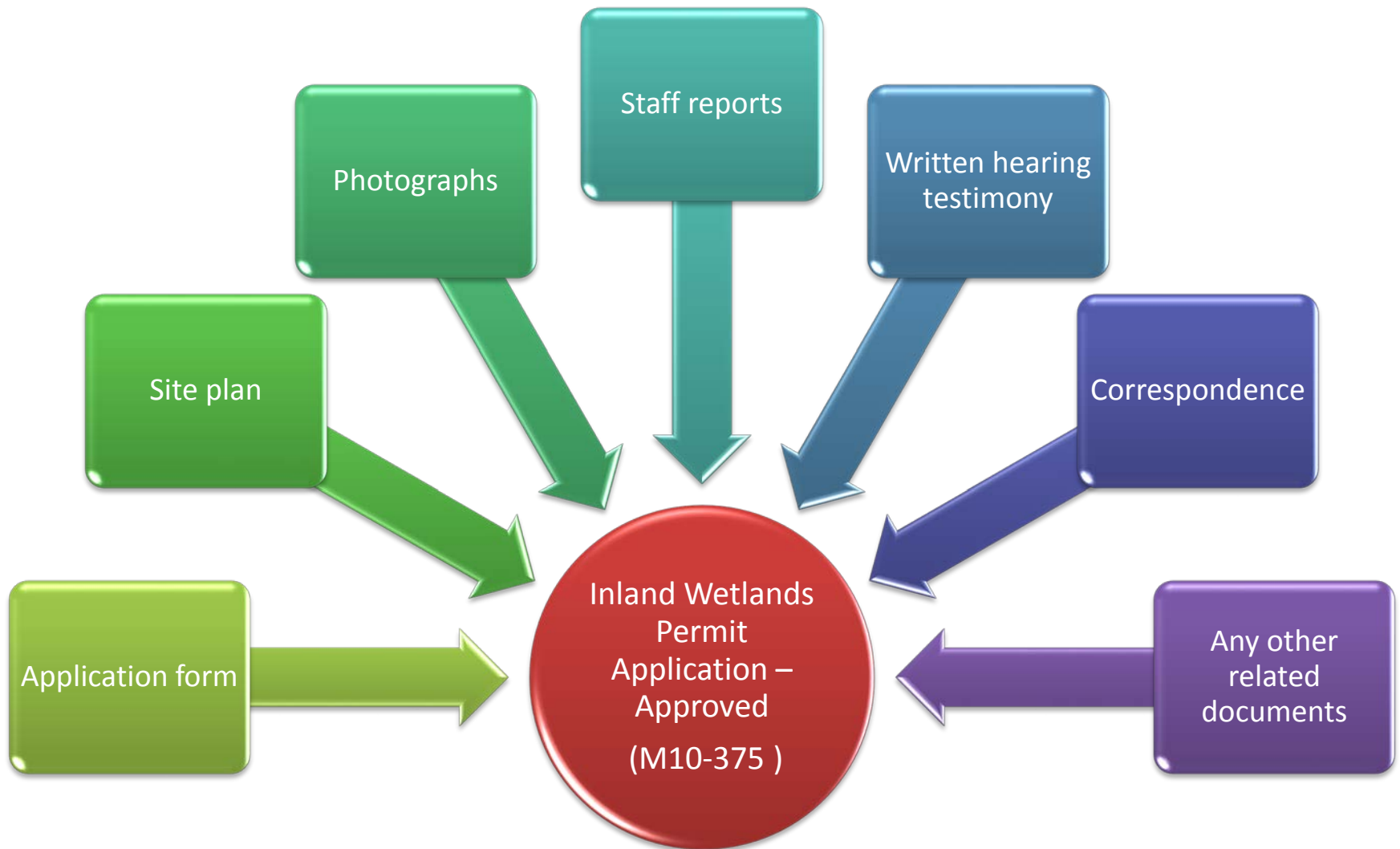
**Any  
recorded  
data  
or  
information  
relating  
to the conduct of the  
public's business**

# Public Records

(General Statutes of Connecticut §1-200 (5))



# Records Series



# Retention Period

**length of time**

- **10 years after issuance of decision**

**kept in a certain location or form**

- **Paper in office files or electronic on network - (one version declared the record copy)**

**administrative, legal, fiscal, or historical value**

- **documents compliance with state statute and local ordinances**

# Retention Period

- Just In Case\*

They're all mine...  
except the one down there...  
which is mine



\* Not an acceptable value

©Warren Photograph

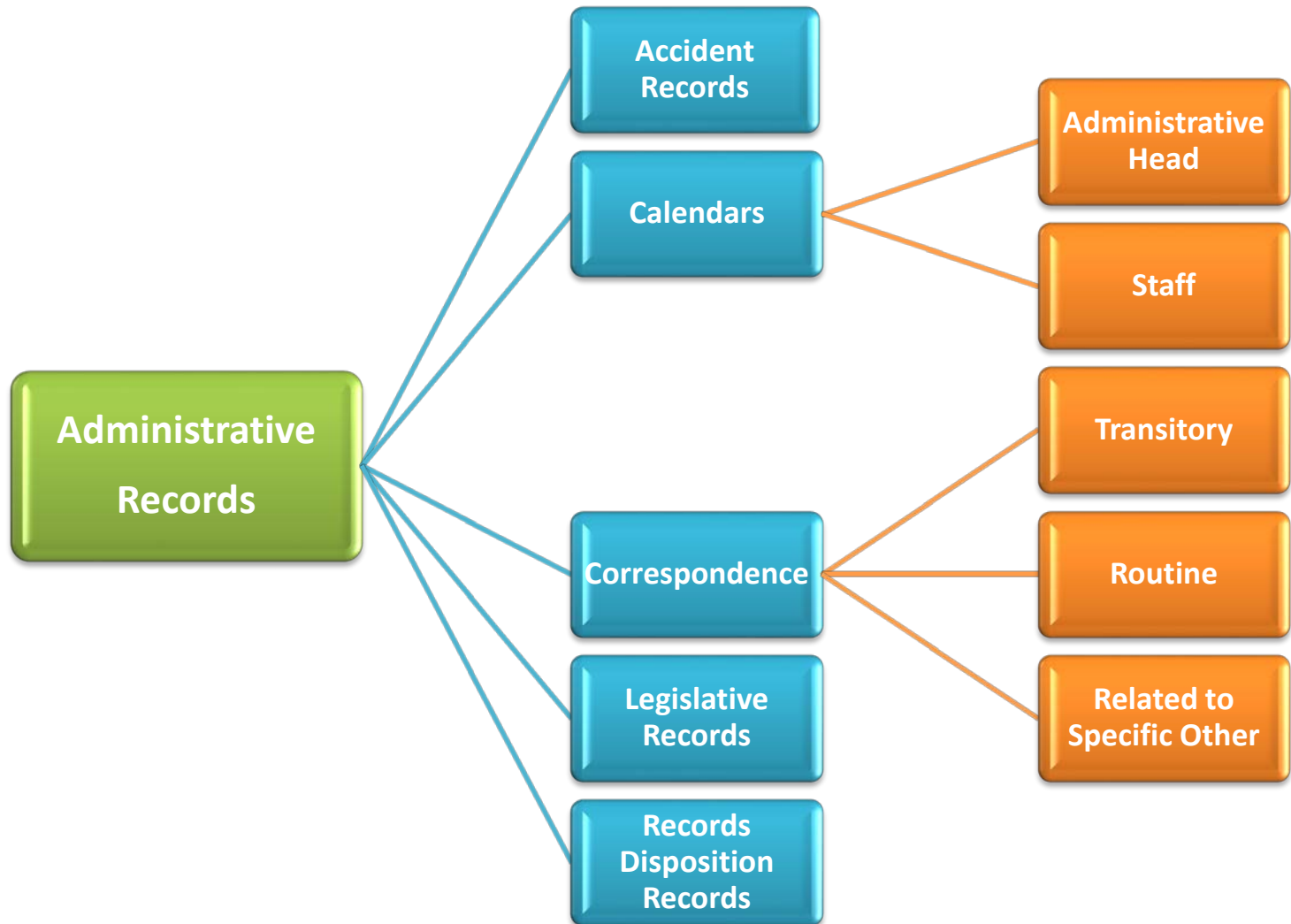


# HOARDING: BURIED ALIVE

Land Use Officials Edition



# Retention Schedule



# Records Schedule Facts

- Lists the **minimum amount of time** records must be retained
  - Some federal or state requirements mandate destruction
- **Does not mandate the creation of records** not currently used or created
- **Does not give** a custodian **authority to dispose** of records listed on the schedule
- A custodian may not **automatically dispose** of any record **not listed** on a schedule


Schedule M10

Land Use and Development

# HOW TO READ A RETENTION SCHEDULE



http://www.ctstatelibrary.org/organizational-unit/public-records

**CONNECTICUT STATE LIBRARY**   
*Preserving the Past, Informing the Future*

[ABOUT](#) | [RESEARCH](#) | [NEWS](#) | [CONTACT](#)

[Home](#)

[About](#) | [Staff](#) | [Programs & services](#) | [FAQs](#) | [Blog posts](#)

**Public Records Management Program - Office of the Public Records Administrator**

LeAnn Power is the Public Records Administrator.

Pursuant to the Connecticut General Statutes § 11-8(a), the Office of the Public Records Administrator is responsible for the design and implementation of a records management program for all state agencies within the executive department, and the towns, cities, boroughs, districts, and other political subdivisions of the state.

**Hours:**  
Mon-Fri: 8am-4:30pm

**Facility location(s):**  
[Connecticut State Library & Supreme Court Building](#)  
[State Records Center facility](#)  
[Van Block State Library Storage Facility](#)

**Phone Number:**  
860-757-6540

**Fax Number:** 860-757-6542

**Links:**  
[Municipal Records Management Program](#)  
[State Records Management Program](#)  
[Historic Documents Preservation Program](#)  
[Essential Records Program](#)  
[State Records Center](#)

**Related pages:**  
[Staff Directory](#)  
[Records Retention Schedules for Municipal Records Management Program - General Schedules](#)  
[Records Retention Schedules for State Records Management Program - General Schedules](#)  
[Records Retention Schedules for State Records Management Program - Specific Agency Schedules](#)  
[Records Management Training](#)  
[Preservation Office](#)

[Home](#) » [Public Records Home page](#) » [Municipal Records Management Program](#)

## RECORDS RETENTION SCHEDULES FOR MUNICIPAL RECORDS MANAGEMENT PROGRAM - GENERAL SCHEDULES

*Have a Reference Question? Please [EMAIL US](#).*

See below for links to all active General Records Retention Schedules for the Municipal Records Management Program which includes municipalities, towns, cities, boroughs, political subdivisions, and certain quasi-public agencies. Contact the Office of the Public Records Administrator if you are not sure of your agency's status or whether your agency falls under the purview of the Office of the Public Records Administrator for the retention and disposition of records.

These schedules list records common to most government functions. The record series are grouped by function rather than office so records within an office may be covered by more than one retention schedule.

For superseded or obsolete General Records Retention Schedules, contact the Office of the Public Records Administrator for assistance.

M01 - General Administration Records (02/2005)	129.48 KB
M02 - Personnel/Labor Relations Records (02/2005)	117.44 KB
M03 - Fiscal Records (02/2005)	133.92 KB
M04 - Taxation - Assessment/Collection Records (05/2012)	169.32 KB
M05 - Town Clerks and Registrars of Vital Statistics Records (02/2005)	169.69 KB
M06 - Electors and Elections Records (09/2011)	212.11 KB
M07 - Public Safety and Emergency Services Records (revised 11/2012)	231.81 KB
M08 - Education Records (02/2005)	197.36 KB
M09 - Public Works Records (02/2005)	73.34 KB
M10 - Land Use and Development Records (02/2005)	205.44 KB
M11 - Library, Museum, Special Collection, Archival Records (11/2013) REVISED	191.71 KB
M12 - Health Departments/Districts/Clinics Records (02/2005)	89.19 KB
M13 - Human Services/Social Services/General Assistance Records (02/2005)	37.7 KB
M14 - Parks and Recreation Records (02/2005)	33.63 KB
M15 - Locally Owned Utilities/Regional Authorities (02/2005)	42.24 KB
M16 - Electronic Data Processing Records (02/2005)	88.97 KB

### Related pages:

[Records Disposition Authorization - Connecticut Towns, Municipalities, and Boards of Education \(Form RC-075\)](#)

[Disposition of Public Records \(Public Records Policy #05\)](#)

**Schedule M10 - Land Use and Development, p. 7**

<b>Item Number</b>	<b>Record Series Title</b>	<b>Minimum Retention Required</b>	<b>Disposition</b>
<b>PART 6: SUBDIVISION CONT.</b>			
(M1-255)	Tapes, audio—zoning matters	1 year after minutes are approved unless pending appeal, then maintain 1 year after appeal decision	destroy <sup>1</sup>
<b>PART 7: INLAND WETLANDS RECORDS</b>			
	<b>Application</b> (including supporting materials for site plan)		
M10-375	a. Approved	10 years after issuance of decision	destroy <sup>1</sup>
M10-380	b. Denied or Withdrawn	2 years after denial of decision or 2 years after application was withdrawn	destroy <sup>1</sup>
M10-385	c. Staff and public written testimony	10 years after decision	destroy <sup>1</sup>
M10-395	<b>Decision Letters</b>	10 years after issuance of decision	destroy <sup>1</sup>
M10-405	<b>General correspondence issued or received</b>	5 years	destroy <sup>1</sup>
M10-415	<b>Legal notices</b>	1 year after decision	destroy <sup>1</sup>
(M1-216)	<b>Minutes of public meetings</b> (including hearings)	permanent	maintain in municipality
(M1-255)	Tapes, audio— inland wetland matters	1 year after minutes are approved unless pending appeal, then retain 1 year after appeal period	destroy <sup>1</sup>
M10-425	<b>Text of changes adopted in regulations</b>	continuous update/permanent	maintain in municipality

MUNICIPAL RECORDS RETENTION/DISPOSITION SCHEDULE  
**M11: LIBRARY, MUSEUM, SPECIAL COLLECTION, AND  
ARCHIVAL RECORDS**

(Revised: 06/2013)



**STATE OF CONNECTICUT**  
**Connecticut State Library**  
**Office of the Public Records Administrator**  
231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

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. **SUPERSEDEANCE:** 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 §11-8a(c), administrative and fiscal values are included within "operational" purposes. [Source: *Glossary of Records and Information Management Terms, 3<sup>rd</sup> 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*, 3<sup>rd</sup> 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*, 3<sup>rd</sup> Ed.]
  - **RECORDS CUSTODIAN:** "The individual or organization having possession of and responsibility for the care and control of material." [Source: Pearce-Moses, Richard. *A Glossary of Archival and Records Terminology*. Chicago, IL: Society of American Archivists, 2005.]
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.

**State of Connecticut Records Retention Schedule M11**  
**Library, Museum, Special Collection, and Archival Records (Issued: 06/2013), Page 4 of 9**

Series #	Records Series Title	Description	Retention	Disposition	Notes
M11-030	Library Board/Trustee Governance Records	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.	Permanent	Maintain in agency	<b>ESSENTIAL RECORD</b> For retention of board minutes, agendas and policies see M1
M11-040	Library Services and Construction Act Title Grant Files	[Obsolete] 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.	20 years after receipt of final payment from state	Destroy after receipt of signed Form RC-075	The federal construction program ended in 1996. Federal regulations maintain that a "Federal Interest" 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)]
M11-050	Library Services and Technology Act Grant Files	This series documents grant funding from the Institute of Museum and Library Services' (IMLS) Library Services and Technology Act (LSTA). This series may contain, but is not limited to financial records; supporting documentation; statistical records; and all other records pertinent to the grant.	3 years from the date of submission of the final Financial Status Report of each five year grant cycle [2 CFR §215.53 and 45 CFR §1183.42]	Destroy after receipt of signed Form RC-075	Since the entire 5 year package of documents is pertinent to the State Program, records for all documents associated with that 5 year period must be kept until 3 years after the last report is submitted.
(M1-055)	Patron Complaint Files	This series documents patron complaints. This series may contain, but is not limited to complaint, preliminary investigations, findings, background material and responses.	2 years after resolution	Destroy after receipt of signed Form RC-075.	Formal complaints concerning censorship issues (including filtering) are normally reviewed and decided by the Board of Trustees. These types of complaints should be reviewed for historical value.





# MANAGING RECORDS

# Managing Records

- Part of **routine business** operations
- **Standardized** filing system
  - Same system for paper and electronic records
- Use a **centralized** system
- The **same** records management **principles** apply to **electronic records** as **paper records**



# Challenges and Issues:

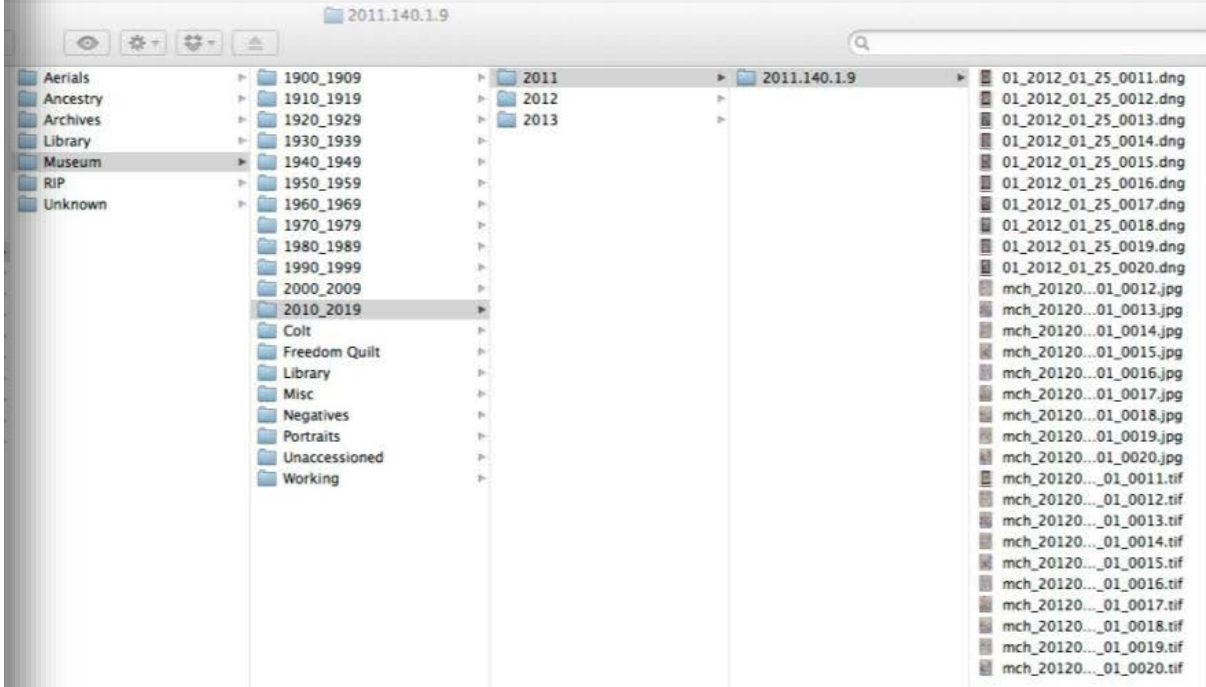
## *Electronic Records*

- Authenticity
- Integrity
  - Unintentional
  - Malicious
- Security
- Active management
  - Distribution (version control)
- Sustainability
- Business Continuity



# Electronic Records

Name	Size	Type
o8877	3,127 KB	Adobe Acrobat Document
o882501	391 KB	Adobe Acrobat Document
o1708801	1,619 KB	Adobe Acrobat Document
o1873310	2,111 KB	Adobe Acrobat Document
o2123261	1,678 KB	Adobe Acrobat Document
o2129235	474 KB	Adobe Acrobat Document
o2129264	1,233 KB	Adobe Acrobat Document
o3025329	1,867 KB	Adobe Acrobat Document
o3599658	2,621 KB	Adobe Acrobat Document
o3814068	2,364 KB	Adobe Acrobat Document
o3915974	2,452 KB	Adobe Acrobat Document
o3918429	2,585 KB	Adobe Acrobat Document
o4048758	2,413 KB	Adobe Acrobat Document
o4752975	2,008 KB	Adobe Acrobat Document
o5836005	948 KB	Adobe Acrobat Document
o9243794	1,746 KB	Adobe Acrobat Document
o9259190	3,261 KB	Adobe Acrobat Document
o9267119	1,762 KB	Adobe Acrobat Document
o11426903	811 KB	Adobe Acrobat Document
o12698499	3,211 KB	Adobe Acrobat Document
o14186821	1,168 KB	Adobe Acrobat Document
o14745883	1,483 KB	Adobe Acrobat Document
o14871493	3,908 KB	Adobe Acrobat Document
o17511565	950 KB	Adobe Acrobat Document
o18480618	2,390 KB	Adobe Acrobat Document
o18911647	2,033 KB	Adobe Acrobat Document
o18955068	5,762 KB	Adobe Acrobat Document
o22249712	1,156 KB	Adobe Acrobat Document
o24597465	3,287 KB	Adobe Acrobat Document
o24993001	417 KB	Adobe Acrobat Document
o25042686	1,526 KB	Adobe Acrobat Document
o34091490	235 KB	Adobe Acrobat Document
o34673293	591 KB	Adobe Acrobat Document
o35023951	6,367 KB	Adobe Acrobat Document
o39869068	6,919 KB	Adobe Acrobat Document
o41341368	188 KB	Adobe Acrobat Document
o41342030	281 KB	Adobe Acrobat Document
o42418957	795 KB	Adobe Acrobat Document
o44114847	1,888 KB	Adobe Acrobat Document
o44512457	803 KB	Adobe Acrobat Document
o44566118	1,337 KB	Adobe Acrobat Document
o44886813	84 KB	Adobe Acrobat Document
o47259507	2,796 KB	Adobe Acrobat Document
o50131178	434 KB	Adobe Acrobat Document
o50145988	858 KB	Adobe Acrobat Document
o50153767	893 KB	Adobe Acrobat Document
o51071319	159 KB	Adobe Acrobat Document
o51464213	253 KB	Adobe Acrobat Document
o52329873	822 KB	Adobe Acrobat Document



# Managing Electronic Records: *Metadata*

- Information about the data
- Essential Metadata
  - Creator name
  - Creation date
  - Title (stored as file name)
  - Cell formula for spreadsheets



# Digital Imaging (Scanning): Challenges and Issues

- Cost
  - Backfile conversion
- Access
- Retention requirements
- Duplicates
- Indexing
- Storage and backup
- Management



# Digital Imaging (Scanning):

- PRP 02 *Digital Imaging*
- Digital Imaging Standards
- Paper copy disposition
  - Records with a retention period of less than permanent
  - Permanent records – approved human readable back-up
- Disposition form
  - Form RC-075.1
- Digital Imaging Certificate – no longer required



# Managing Email

10 YEARS AGO



NOW





# 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**
- **Disposal** of public records **require approval**
  - *General Letter #2009-2: “Management and Retention of E-mail and other Electronic Messages”*
  - M1: General Administrative Records



# Managing Email as a Public Record

## Category

- Related to specific programs or functions
- Routine
- Transitory

## Retention Requirement

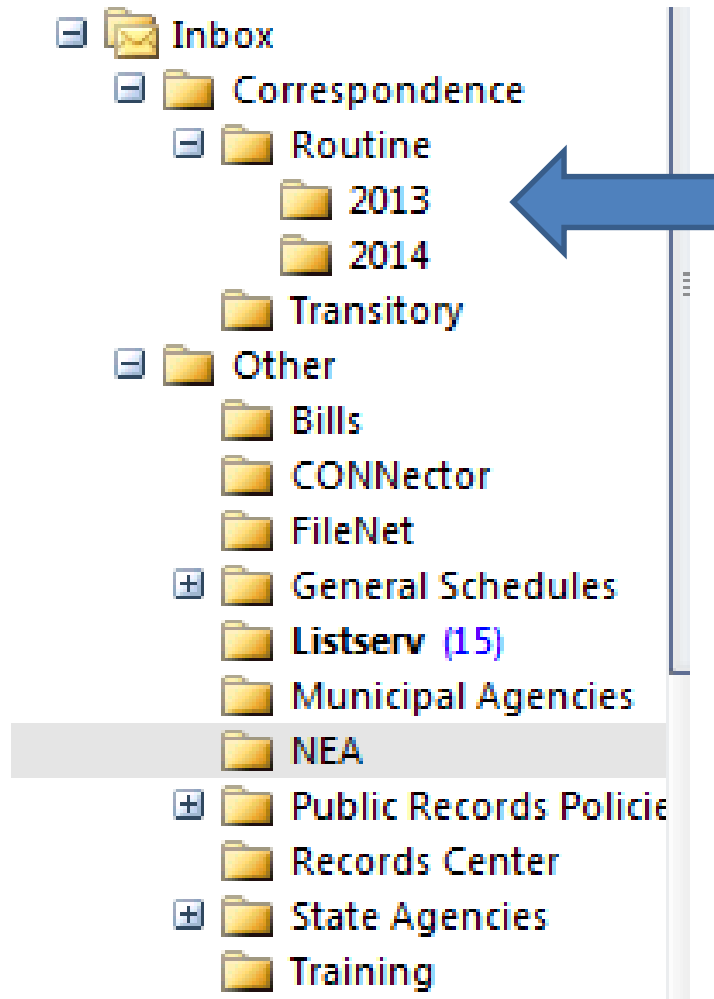
- Follow retention of records series that documents specific municipal functions or programs
- 2 years
- No requirement



# Managing Email as a Public Record

- Transitory Email
  - “*Cookies in the break room*”
  - Routine traffic or weather alerts
  - Personnel reminders
    - Job announcements
    - Time sheet reminders
    - Insurance open enrollment
  - External listserv messages

# Organizing Your Inbox



# Best Practices:

## Writing and Sending Email

- Do you need to use email?
- Subject lines
- Attachments vs. links
- Copy and forward sparingly



# Best Practices: Email Management

- Manage “sent” and “transitory” mail
- Manage email based on content, not space quotas
- Utilize “Rules” function
- Day-to-day business practice





# RECORDS DISPOSITION



# Destruction Procedures

- **Determine** which records are **eligible** for destruction
- **Obtain authorization** to destroy public records by submitting a Records Disposition Authorization Form (RC-075)
- Destroy records in a **timely manner**
- Get a **Certificate of Destruction**



# Records Disposition

- **Records that do not appear on a schedule**
  - Cannot destroy or transfer without permission
  - List on request form but leave the item number column blank
- Refer to Public Records Policy 5: *Disposition of Public Records*

# Disposition Approval Process

- Review and Sign off
  - Head of Municipality
  - Public Records Administrator
  - State Archivist
- Destroy or transfer (to a certified repository)  
**only after:**
  - The Office of the Public Records Administrator and State Archivist have **approved** the disposition request
  - Receipt of the signed form

# Form RC-075

## RECORDS DISPOSITION AUTHORIZATION Connecticut Towns, Municipalities, and Boards of Education

Form RC-075 (Revised 01/2010)



STATE OF CONNECTICUT  
Connecticut State Library  
Office of the Public Records Administrator  
231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

### 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.

<b>LOCAL GOVERNMENT ENTITY:</b> Town of Windsor Building Dept		<b>DATE:</b> 4-29-14	
<b>CUSTODIAN OF RECORDS:</b> Lori Hartmann		<b>PHONE:</b> 860-285-1960	
<b>ADDRESS (form will be returned to this address):</b> 275 Broad St. Windsor CT 06095			
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.			
<b>GOVERNMENT AUTHORIZATION</b>	<b>CUSTODIAN OF RECORD (type or print):</b> Anna Posniak - Town Clerk	<b>SIGNATURE (Custodian of Record):</b> <i>Anna M. Posniak</i>	<b>DATE:</b> 4/29/14
	<b>HEAD OF MUNICIPALITY (type or print):</b> Peter Souza - Town Manager	<b>SIGNATURE (Head of Municipality):</b> <i>Peter Souza</i>	<b>DATE:</b> 4.30.14
<b>EDUCATION AUTHORIZATION</b>	<b>SUPERINTENDENT OF SCHOOLS (type or print):</b>	<b>SIGNATURE (Superintendent of Schools):</b>	<b>DATE:</b>

SCHEDULE & SERIES # (e.g., M1-080)	RECORDS SERIES TITLE	INCLUSIVE DATES OF RECORDS		VOLUME OF RECORDS (indicate cubic ft.)	PROPOSED DATE OF DISPOSITION
		FROM	THRU		
1. M10-020	2000 Day Hill Rd construction documents	4-26-95	4-23-12	* 10	7-1-14
2. M10-025	2000 Day Hill Rd construction plans	1995	2011	4	7-1-14
3. M10-035	2000 Day Hill Rd CO's	1995	2011	* 0	7-1-14
4. M10-045	2000 Day Hill Rd demolition record	1995	2011	0	7-1-14
5. M10-065	2000 Day Hill Rd permits	1995	2011	* 10	7-1-14
6.					
7.					
8.					
9.					
10.					
11.					
13.					
14.					

PUBLIC RECORDS AUTHORIZATION	APPROVED (Public Records Administrator): <i>J. Ann B. Power</i>	DATE: JUN 05 2014
	APPROVED (State Archivist): <i>Kenneth Pellegri</i>	DATE: JUN 05 2014

PUBLIC RECORDS NOTES:  
 \* Documents have been retained for life of structure.  
 Structures have been demolished per Windsor Building Dept.

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



STATE OF CONNECTICUT  
Connecticut State Library  
Office of the Public Records Administrator  
231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

**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:

SCHEDULE & SERIES # (e.g., M1-009)	RECORDS SERIES TITLE	INCLUSIVE DATES OF RECORDS		VOLUME OF RECORDS (indicate cubic ft.)	PROPOSED DATE OF DISPOSITION
		FROM	THRU		
1. M10030	Select Therapy, 80 Shunpike	1/25/10	1/25/12	✓	Upon Date
2. M10030	Cromtch One, 100 Sebeth Dr	2/21/10	2/21/12	✓	Date of Api
3. M10025	5 Leghorn	5/3/10	5/3/12	✓	Date of Api
4. M10030	Sleepys, 195 West St	11/17/09	11/17/11	✓	Date of Api
5. M10030	D'Angelos, 34 Shunpike	8/7/07	8/7/09	✓	Date of Api
6. M10025	15 Nooks Hill Rd	4/13/10	4/13/12	✓	Date of Api
7. M10030	Wireless Zone, 127 Berlin	3/10	3/12	✓	Date of Api
8. M10030	Covenant Village, Missionary	3/9/10	3/9/12	✓	Date of Api
9. M10030	Shops at Cromwell Plaza	4/24/10	4/24/12	✓	Date of Api
10. M10025	50 West St Apartments	1/27/10	1/27/12	✓	Date of Api
11. M10030	Cromwell Square, Shunpike Rd	4/24/10	4/24/12	✓	Date of Api
12. M10030	Homecare, 100 Sebeth Dr	2/21/10	2/21/12	✓	Date of Api
13. M10030	McDonalds	9/15/08	9/15/10	✓	Date of Api
14.					Date of Api

PUBLIC RECORDS AUTHORIZATION: APPROVED (Public Records Administrator): *J. Alan B. Power* DATE: JUN 25 2014  
APPROVED (State Archivist): *Richard Pellegrini* DATE: JUN 25 2014

PUBLIC RECORDS NOTES:

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



STATE OF CONNECTICUT  
Connecticut State Library  
Office of the Public Records Administrator  
231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

**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:

SCHEDULE & SERIES # (e.g., M1-009)	RECORDS SERIES TITLE	INCLUSIVE DATES OF RECORDS		VOLUME OF RECORDS (indicate cubic ft.)	PROPOSED DATE OF DISPOSITION
		FROM	THRU		
1.	Permit application.files, plans. W1501- W4399	7/13/99	2/18/00	29 cf	4/18/14
2. M10-020				✓	
3. M10-025				✓	
4. M10-030				✓	
5. M10-035				✓	
6. M10-065				✓	
7. M10-070				✓	
8.					
9.					
10.					
11.					
12.					
13.					
14.					

PUBLIC RECORDS AUTHORIZATION: APPROVED (Public Records Administrator): *J. Alan B. Power* DATE: JUL 01 2014  
APPROVED (State Archivist): *Richard Pellegrini* DATE: JUL 01 2014

PUBLIC RECORDS NOTES:

Item # 2-7 have been imaged and microfilmed by Data Bank.  
Microfilming and Digital Imaging Certificate of Compliance on file with P.A. SM.

# Disposition Caveats

- Audit Reports
- Destruction Holds
  - Litigation
  - FOIA request
  - Other pending action
- Litigation Hold Policy
  - Institutional policy on how to handle holds
  - Failure to have and follow litigation policy is costly



# Records Destruction

- **No statutory requirement** regarding the **method** of how records are destroyed
- Utilize a method that **ensures the total destruction** of the record:
  - Hard copy formats
    - Shred with a cross cut shredder
    - Recycle, if possible
  - Electronic media
    - National Institute of Standards and Technology (NIST) *Special Publication 800-88*

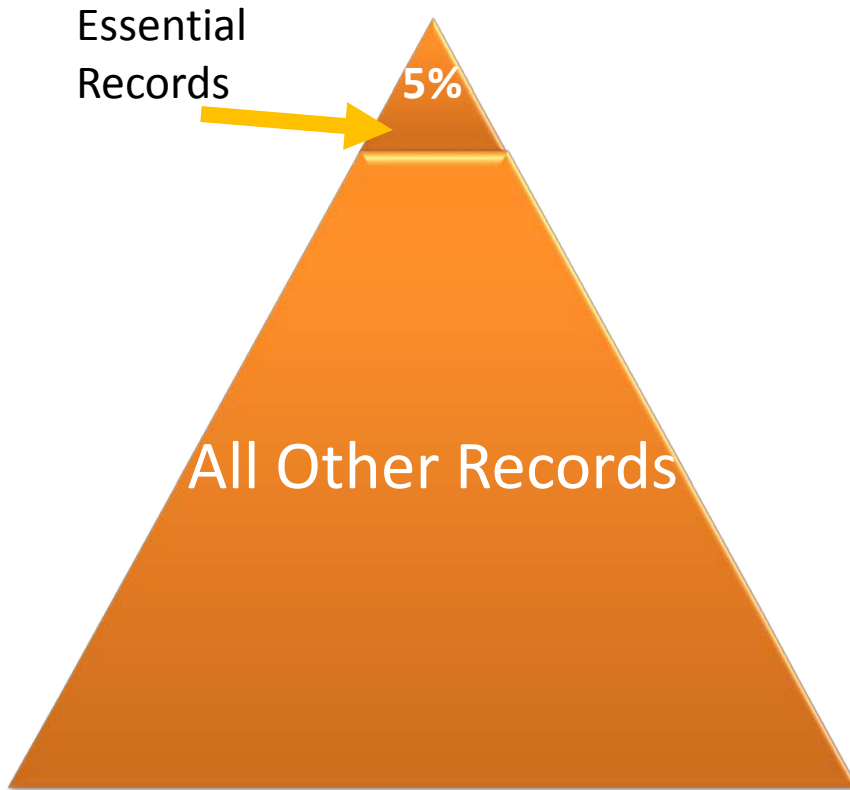






# DISASTER PREPAREDNESS

# Essential Records



- Necessary for emergency response
- Necessary to resume or continue business operations
- Protect the health, safety, property, and rights of residents
- Require massive resources to reconstruct
- Document the history of communities and families

# Be Prepared

- A disaster prevention and recovery plan
  - Helps to avoid or reduce loss of records in a disaster
  - Include a list of the agency's essential records
  - Should be part of the town's larger continuity of operation plan (COOP)
- **Must notify OPRA** when records are damaged
  - Must obtain **written permission** to dispose of records
  - Grant funds available to municipalities for disaster recovery



# Questions?



# CONNECTICUT STATE LIBRARY



*Preserving the Past. Informing the Future*

## **Office of the Public Records Administrator**

231 Capitol Avenue, Hartford, CT 06106

Phone: (860) 757-6540

Fax: (860) 757-6542

LeAnn Power

[leann.power@ct.gov](mailto:leann.power@ct.gov)

Sara Cheeseman

[Sara.cheeseman@ct.gov](mailto:Sara.cheeseman@ct.gov)

[www.ctstatelibrary.org](http://www.ctstatelibrary.org)