

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.

This form is not a substitution for agency-adopted digitization and electronic records management policies and procedures. Public agencies should have policies and procedures in place for digitized and born-digital records and general records management but are not required to submit them to this office for approval.⁵

¹ “Archival record” means a public record, as defined by CGS 1-200(5), which, regardless of format, possesses enduring value if it documents or contains information on one or more of the following: 1) the evolution of the organization, policies and practices of state or local government; 2) claims or petitions made on state or local government by its citizens and the disposition of those claims or petitions; 3) obligations and claims made on citizens by state or local government and their disposition; 4) the legal and legislative history of the state or local government; 5) topics of research value beyond the specific administrative, legal or fiscal reasons the records were originally created.

² <https://ctstatelibrary.org/wp-content/uploads/2022/12/PRP04ElectronicRecordsManagement2022.pdf>

³ <https://ctstatelibrary.org/wp-content/uploads/2022/12/PRS04-1ElectronicRecordsStandards2022.pdf>

⁴ <https://ctstatelibrary.org/wp-content/uploads/2022/12/PRS04-2DigitalImagingStandards2022.pdf>

⁵ State agencies are encouraged to consult OPM’s current statewide technology policies to further inform relevant sections.

1. PUBLIC AGENCY INFORMATION

Public Agency Name:		Division/Unit/Department:	
Records Custodian Name:	Records Custodian Email:	Records Custodian Phone Number:	
RMLO Name <i>(state only)</i> :	RMLO Email <i>(state only)</i> :	RMLO Phone Number <i>(state only)</i> :	

1-A. Is this a new submission or an amended certification?	
<input type="checkbox"/> New	<input type="checkbox"/> Amended
If amended, please briefly describe why the certification is being amended and the changes, additions, or deletions from your previous submission:	

2. PURPOSE AND SCOPE

The purpose of this certification is to ensure that the public agency is digitizing and disposing of permanent paper records and maintaining the digital copies as official record copies⁶ in adherence to *Public Records Policy 04: Electronic Records Management*, *Public Records Standards 04-1: Electronic Records*, and *Public Records Standards 04-2: Digital Imaging*.

2-A. Describe how the digitization and digital preservation project fulfills the agency's needs:

2-B. Are there any statutory or regulatory mandates to maintain the physical/paper format of any of the records to which this certification applies?	
<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, please explain further:	

⁶ The Society of American Archivists *Glossary of Archival and Records Terminology* defines record copy as “the single copy of a document, often the original, that is designated as the official copy for reference and preservation.” Available at <https://dictionary.archivists.org/entry/record-copy.html>.

2-C. Identify record series and date ranges to be approved under this certification. Include volume of records and record types to be digitized, and the intended electronic storage systems for digitized records. Be as specific as possible. Space for additional record series can be found at the end of the document. It is not necessary to use all entries provided.

1	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, Sharepoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

2	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, Sharepoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

3	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, Sharepoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

3. DIGITAL IMAGING: TECHNICAL REQUIREMENTS

3-A. Identify the output formats and DPI (dots per inch) for the record types scanned or to be scanned:				
Record Type (e.g. standard letter-size paper, maps, photographs, etc.)	Output Format (list all that apply e.g. TIFF, JPEG, PDF, PDF/A, etc.)	DPI (dots per inch)	Color Mode (RGB color or grayscale)	Bit Depth (8- or 16-bit)

3-B. If you have scanned or will be scanning maps ⁷ , will the maps be scanned to scale?		
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
If no, please explain further:		

⁷ Please consult the [Federal Agencies Digital Guidelines Initiative \(FADGI\) Technical Guidelines for Digitizing Cultural Heritage Materials](#) for further detail on digitizing complex objects such as maps. The Office of the Public Records Administrator and State Archives have also compiled additional [Electronic Records Management and Digital Imaging Resources](#).

3-C. Identify any hardware and software systems used or to be used. If your agency contracts with a vendor, the service level agreement (SLA) must describe the operating environment and equipment.

Document/image scanner manufacturer and model number:

Driver software for scanner:

Imaging software (if applicable):

4. QUALITY CONTROL AND QUALITY ASSURANCE (QC/QA) AND LONG-TERM AUDITING

4-A. Check any visual and/or automated quality control inspection actions that took place or are planned during the digitization project to ensure the resulting digital record is complete and meets minimum standards for that digital record:

Review File Specifications and Properties (file name, file format, file size, image size/resolution, bit depth)

Review Image Quality (check for rotation, skewing, readability, presence of dust, fingerprints, etc., streaks, coloring, contrast, etc.)

Review Page Counts (number, page order, page completeness)

Review Metadata and Indexing for accuracy and completeness (file name, program name, image size, file size, file type, date created, OCR, etc.)

Other (explain):

4-B. When are quality control actions performed? Check all that apply:

Scanning stage

Indexing stage

Other (explain)

4-C. Briefly describe the quality control measures to be taken prior to destruction of any permanent paper records, including the percentage of imaged records to be visually inspected by agency employees:

4-D. After paper disposition, the agency will audit _____% of imaged records every _____ years for accuracy, readability, and reproduction capabilities. Please briefly describe the automated and/or manual audit review methods the agency would employ:

5. BACKUPS AND LONG-TERM STORAGE

5-A. For each electronic storage location identified in Part 2, please detail routine backup frequency, storage, and location. If backups are handled by a third-party vendor, please specify:

Electronic Storage Location(s) (e.g. on-premise server, Sharepoint, etc.)	Is this storage location geographically remote?	How often are routine backups conducted?	Where are backups stored?

5-B. Will your agency store any of these digitized records in cloud solutions? If not, skip to box 5-C.

Yes No

Which cloud service provider(s) will/do you use to store the records listed on this certification? Check all that apply:

Microsoft 365 Box Dropbox Amazon Web Services (AWS)

Other (Please specify):

Are any of these cloud locations the sole storage entity for any of these records?

Yes No

If the vendor goes out of business, is acquired by another company, discontinues service and/or support, or the agency otherwise terminates service with the vendor, does the agency have a plan to recover its electronic records?

Yes No

5-C. Will any of these digitized records be maintained on local storage media? If not, skip to box 5-D. Note: individual user storage accounts, CDs, flash drives, and external hard drives are not sufficient for long-term storage

Yes No

Are any records backed up on local storage media?

Yes No

How often do you refresh any backup media used?

5-D. Are provisions for electronic records mitigation and recovery included in your agency's continuity of operations plan?

Yes No

6. MIGRATION

6-A. Identify the agency's plan for data migration, including (1) migrating to new file types when information systems require them to be updated to render properly; AND (2) migrating records, associated indexes, and metadata to new information systems as needed to ensure content remains accessible. Considerations for this section:

- **How will the agency support efforts to monitor, maintain, and upgrade information systems so records remain accessible?**
- **How will the agency measure migration completeness and accuracy?**

7. DISPOSITION OF PAPER AFTER DIGITIZING

Public agencies must notify the State Archives prior to destroying permanent paper records. Upon approval of this certification, the State Archivist may request transfer of paper records or a scheduled transfer of the digitized records to the State Archives.⁸ **Reminder: Approved certifications pertain to *listed record series only*.** Please see beginning of document for instructions on adding to the certification.

After approval by the State Archivist and the Public Records Administrator, a copy of the approved certification will be returned to the Records Custodian (municipal) or RMLO (state). Records may not be destroyed until the agency has received the signed certification.

At the time of disposal, the Records Custodian (municipal only) or RMLO (state only) should record the actual date of disposition, attach any related supporting documentation (e.g., Certificate of Destruction or Transfer Agreement), and retain pursuant to M1-110 (municipal) or ADMIN-059 (state). Hard copy records should be destroyed by shredding.

Municipal applicants only: After disposal of Municipal records, the Records Custodian must forward the signed original form (and any supporting documentation) to the Office of the Town Clerk for retention and may keep a duplicate copy.

7-A. Briefly describe the agency's process for disposal of the paper copy of permanent records after digitizing.

Considerations for this section:

- **Will destruction of the paper be conducted in-house or with a vendor?**
- **How long after digitizing will the paper records be kept until destroyed?** *Please note the paper records must be kept for a minimum of 60 days to identify and correct quality control issues.*

8. CERTIFICATION AND SIGNATURES

The undersigned parties ensure that this certification is being maintained and reviewed in compliance with **Public Records Policy 04: Electronic Records Management**⁹, **Public Records Standards 04-1: Electronic Records**¹⁰, and **Public Records Standards 04-2: Digital Imaging**¹¹ and that all digitized images will be properly maintained and will remain accessible by the agency for their full retention period.

⁸ For more information on records transfer, please see [State Archives Policy 01: Transfer of Historical Records to the State Archives](#) and [Procedures for the Transfer of historical Public Records to the State Archives](#)

⁹ <https://ctstatelibrary.org/wp-content/uploads/2022/12/PRP04ElectronicRecordsManagement2022.pdf>

¹⁰ <https://ctstatelibrary.org/wp-content/uploads/2022/12/PRS04-1ElectronicRecordsStandards2022.pdf>

¹¹ <https://ctstatelibrary.org/wp-content/uploads/2022/12/PRS04-2DigitalImagingStandards2022.pdf>

- The Applicant has read **Public Records Policy 04: Electronic Records Management, Public Records Standards 04-1: Electronic Records, and Public Records Standards 04-2: Digital Imaging** and certifies that the digitized permanent records covered by this request meet or exceed the minimum standards.
- The Applicant certifies that the information provided above is complete and accurate.
- The Applicant certifies that the agency will maintain documentation of systems hardware and software used to create and store permanent records.
- The Applicant certifies that the images will be created using the most current versions of TIFF, JPG, PDF, or PDF/A for the file format and that the images will conform to the minimum standard specifications.
- The Applicant certifies that they have developed a migration plan that will be followed for all records approved under this request and evaluated and amended as needed.
- The Applicant certifies that they will appropriately index the digital images for retrieval and preservation based on key data elements in the records (date, name of parties to the records, and other information specific to the listed records series).
- The Applicant will institute a quality control process that includes inspecting all records upon scanning and auditing a minimum percentage of records (specified in section 4) periodically thereafter to ensure that all information on the scanned version is legible.
- The Applicant has attached the complete list of Record Series to be imaged for approval and will submit a new certification or an addendum to request permission to digitize and dispose of additional permanent paper record series or date ranges, or upon any changes to the digital preservation information detailed within.
- The Applicant certifies that they have discussed this scanning and digital preservation project with relevant IT leadership in their public agency. Relevant personnel might include IT directors, CTOs, CIOs, CSMs¹², or any other policy, budget, and/or technology specialists¹³.
- The Applicant certifies that they are prepared to provide access to imaged records at the same or a greater level than provided for the original paper records.
- The Applicant certifies that all present and future systems used to create, store, and retrieve data are verified for trustworthiness, meaning they operate according to well-documented processes that ensure records based on that data are authentic and reliable.
- The Applicant certifies that the agency provides appropriate training on the digitization and records disposition process to any participating employees.
- The Applicant certifies that the agency will pursue Open System Architectures where possible for information systems and protect best interests if pursuing Closed or proprietary architectures.
- The Applicant certifies that agency electronic records systems that maintain the official permanent record copies provide an appropriate level of security to ensure the integrity and protection of the digitized records.
- The Applicant certifies that agency security controls for electronic records systems at a minimum include: (1) physical and logical access controls; (2) backup and recovery procedures; (3) file integrity monitoring; and (4) security awareness training for users.
- The Applicant certifies that paper records will be kept for a minimum of 60 days after scanning to identify and correct possible quality control issues.

¹² State agencies only - Customer Success Managers (CSM).

¹³ State agencies might consider reaching out to Office of Policy and Management (OPM) budget analysts or technology consultants.

Please fill out the appropriate signature block below – State Agency Signatures for state agency applicants and Municipal Signatures for municipal applicants. Municipal applicants only need the Superintendent of Schools signature if this certification applies to education records. Email completed form as a PDF to CSL.Disposition@ct.gov.

STATE AGENCY SIGNATURES			
RECORDS CUSTODIAN:	RECORDS CUSTODIAN JOB TITLE:	RECORDS CUSTODIAN SIGNATURE:	DATE SIGNED:
RMLO:	RMLO JOB TITLE:	RMLO SIGNATURE:	DATE SIGNED:
DIVISION HEAD ¹⁴ :	DIVISION HEAD JOB TITLE:	DIVISION HEAD SIGNATURE:	DATE SIGNED:
AGENCY HEAD:	AGENCY HEAD JOB TITLE:	AGENCY HEAD SIGNATURE:	DATE SIGNED:

MUNICIPAL SIGNATURES			
RECORDS CUSTODIAN:	RECORDS CUSTODIAN JOB TITLE:	RECORDS CUSTODIAN SIGNATURE:	DATE SIGNED:
DEPARTMENT HEAD:	DEPARTMENT HEAD JOB TITLE:	DEPARTMENT HEAD SIGNATURE:	DATE SIGNED:
TOWN CLERK:		TOWN CLERK SIGNATURE:	DATE SIGNED:
HEAD OF MUNICIPALITY:	HEAD OF MUNICIPALITY JOB TITLE:	HEAD OF MUNICIPALITY SIGNATURE:	DATE SIGNED:
SUPERINTENDENT OF SCHOOLS ¹⁵ :		SUPERINTENDENT OF SCHOOLS SIGNATURE:	DATE SIGNED:

CONNECTICUT STATE LIBRARY SIGNATURES			
APPROVED <i>(Signature of State Archivist):</i>	DATE SIGNED:	APPROVED <i>(Signature of Public Records Administrator):</i>	DATE SIGNED:
OFFICE USE ONLY — AUTHORIZATION EXCEPTIONS:			

¹⁴ For division-specific projects

¹⁵ Superintendent signs for education record projects only.

ADDITIONAL RECORD SERIES FORMS, IF NEEDED:

4	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

5	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

6	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

7	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

8	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

9	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

10	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

11	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		

12	Records Series Number	Records Series Title	Dates of Records		Volume of Records
			From	Thru	
Record Type(s) (e.g. standard letter-size paper, maps, photographs, etc.):					
Information System/Electronic Storage Location(s) (e.g. on-premise server, SharePoint, etc.):					
Has digitization already begun or been completed? If yes, please indicate what year(s) scanning took place.					
<input type="checkbox"/> Yes; Year(s):			<input type="checkbox"/> No		
Is this a one-time scanning project or routine/ongoing scanning?					
<input type="checkbox"/> One-time project			<input type="checkbox"/> Routinely/Ongoing		