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| **RECORDS RETENTION SCHEDULE WORKSHEET**  Form RC-051 (Revised 12/2022) |  | **STATE OF CONNECTICUT**  **Connecticut State Library**  **Office of the Public Records Administrator**  231 Capitol Avenue, Hartford, CT 06106  <https://ctstatelibrary.org/> |
| **INSTRUCTIONS:**  The agency Records Management Liaison Officer (RMLO) should use this form to develop or revise an existing Records Retention Schedule or individual Records Series. After completing the form, send it by e-mail to the Office of the Public Records Administrator. Staff will use the form to work with the agency RMLO to finalize the new or revised Schedule or Series. RMLOs should review all agency Records Retention Schedules annually and update as needed.  **GENERAL GUIDELINES:**   * Group all records by “records series.” A records series is “[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.).” [Source: *Glossary of Records and Information Management Terms, 3rd Edition*, ARMA International.]. * Do not list items from the General Records Retention Schedules on the worksheet. * Spell out acronyms which can change or have multiple meanings. * The table is set up to automatically expand to accommodate additional text.   **INSTRUCTIONS (BY FIELD):**  (1) Enter the full name of the agency.  (2) Enter the mailing address of the agency.  (3) Check the appropriate box to indicate if the schedule is a traditional department schedule (lists of records series organized by the departments in which the records are maintained) or a functional schedule (lists of records series organized by the functions of the agency). If the schedule is departmental, enter the applicable division, unit, or program. If the schedule is functional, enter the agency function(s). If the schedule applies to all agency programs, enter “ENTIRE AGENCY.”  (4) Enter RMLO name.  (5) Enter RMLO phone number.  (6) Enter RMLO e-mail address.  (7) Check the appropriate box to indicate if the schedule is new or if it will supersede an existing schedule. If it will supersede, indicate the previous schedule number.  (8) List statutes/regulations which establish the agency's authority or functions which (e.g., the State Library’s authority is granted by CGS Chapter 188).  (9) Indicate New if this is a new series, Void if the series is being removed, or Revise if this is a modification to an existing series.  (10) Enter current record series number. Leave blank if this is a new series.  (11)Enter an accurate title for each records series. If there are other records series that are similar, the title should distinguish between them (e.g. “Reports, Annual vs. Reports, Monthly”). If this is a revised series, include the current series title AND revised title (if applicable).  (12) Describe the records, including their function or purpose (e.g., “This series documents the transportation of hazardous waste from a generator’s site to the site of its disposition”). You may include information to clarify the records series by including specific form names or numbers (e.g., “Including but not limited to: uniform hazardous waste manifest and instructions [EPA Forms 8700–22 and 8700–22A]; biennial reports and exception reports; and test results, waste analyses, or other determinations”). Identify essential records and obsolete records. Records designated as “Essential” are those records necessary to respond to an emergency; to reestablish normal operations after any such emergency; to protect the rights and interests of the agency; and to protect the rights and interests of individuals for whom it has responsibility. Records designated as “OBSOLETE” or “SERIES CLOSED” are no longer created or received in the normal course of business. Records custodians should request approval for the appropriate disposition of any records so designated as soon as the retention period has passed. If this is a revised series, include the current description AND revised description (if applicable).  (13) Retention periods 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. However, some records have maximum retention periods set by federal or state statutes or regulations. Retention periods should be as specific as possible. Use terms that denote a precise period of time and include a cut-off or retention “trigger” (e.g. “1 year from end of year to which record relates” or “2 years from date of application”). If you have a legal citation that mandates a retention period, place it in brackets after the retention period (e.g., “3 years from the date the waste was accepted by the initial transporter [40 CFR Part 262.40(a)]”). Agencies are required to maintain all records for the retention period. If this is a revised series, include the current retention AND revised retention (if applicable).  Please note that any records given a “Permanent” retention period must be maintained forever. The agency is, therefore, responsible to ensure that those records are protected and accessible forever. For this reason, we strongly suggest only using the “Permanent” designation for records that truly must be maintained in perpetuity. Also note that permanent records are not eligible to be stored at the State Records Center. If you believe a record should be maintained permanently outside the office, contact the State Archivist to appraise the record for possible transfer to the Connecticut State Archives. Such identified records will receive the designation of “Permanent / Archival” and will be eligible for accession to the State Archives.  (14) Use this column to indicate the disposition of records (e.g., “Destroy after receipt of signed Form RC-108”). Disposition refers to either the destruction of the record or legal transfer of ownership to another entity or archival repository. Some records have maximum retention periods that are set by federal or state statutes or regulations and must be destroyed at the end of the retention period. However, this office strongly recommends that agencies review and dispose of all records once the retention period has been met. If this is a revised series, include the current disposition AND revised disposition (if applicable).  (15) Use this column to indicate any other relevant information, such as legal citations, Freedom of Information Act (FOIA) exemptions, confidentiality of records requirements, methods of storage, or reformatting of records. If you send a records series off-site for storage, indicate that information in this column (e.g., “Records are transferred to the State Records Center at the end of each calendar year”). If this is a revised series, include the current notes AND revised notes (if applicable). | | |

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| **(1) AGENCY:** | | **(2) AGENCY ADDRESS:** | | **(7)**  **This schedule is:**  **ORIGINAL**  **REVISED**  **If revised, previous Records Retention Schedule number(s):** |
| **(3)**  **DEPARTMENTAL SCHEDULE (list division, unit, or program):**  **FUNCTIONAL SCHEDULE (list functions):** | | | |
| **(4) RMLO:** | **(5) RMLO PHONE:** | | **(6) RMLO E-MAIL:** |
| **(8) STATUTES/REGULATIONS ESTABLISHING AGENCY AUTHORITY/FUNCTION:** | | | | |

| **(9)**  **New/ Void/ Revised** | **(10)**  **Series #** | **(11)**  **Records Series Title** | **(12)**  **Description** | **(13)**  **Retention** | **(14)**  **Disposition** | **(15)**  **Notes** |
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|  | Leave blank if this is a new record series. | **If revised, include current series title AND revised title** | **If revised, include current description AND revised description** | **If revised, include current retention AND new retention** | **If revised, include current disposition AND revised disposition** | **If revised, include current notes AND revised notes** |
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