

## Managing the Maelstrom

During agency reorganization, consolidation, relocation, closure of facilities, or staff changes including layoffs, management must carefully consider how the agency's records and official publications will be handled to ensure compliance with all statutes, regulations and records retention requirements. Below is some basic guidance on managing these records and publications under such circumstances.

In addition, refer to [PRP 06: Retention of Records for Agency Closures, Mergers, and Consolidation](#); [PRM 100: Managing Records during Agency Relocation](#) and [Tips for Managing Records during an Office Relocation](#) for more information.

For questions or assistance with records management requirements, please contact the Office of the Public Records Administrator at (860) 757-6540.

### 1. Records Management during Transitions

The basic steps for properly managing records during transitions are as follows:

1. Conduct a high-level [inventory](#) of all affected records including paper files, electronic files and email (located in departmental and personal workspaces and on personal networks, shared drives or SharePoint sites).
2. Identify and dispose of non-records (e.g., reference materials and duplicate items).
3. Identify records including emails that have met minimum retention requirements or have been designated as historical records for transfer to the State Archives, using the [Retention Schedules](#) (both general and agency-specific).
4. For records that have met minimum retention requirements, submit a [Records Disposition Authorization \(Form RC-108\)](#) to the Office of the Public Records Administrator. Destroy records after the approved form has been returned to the agency.
5. For records that have historical value, contact the State Archives at (860) 757-6511.

#### 1a. Records of Retiring or Laid-off Employees

Under normal circumstances, the outgoing employee should be involved in inventorying and organizing their files prior to leaving. This is not always possible and careful attention is needed to ensure that the records of outgoing staff are maintained or disposed of properly, as directed above. In addition:

1. Transfer custody of remaining records and emails to the appropriate authority (e.g., supervisor, someone else in work unit, different department, or successor as appropriate).
2. If the employee was a Records Management Liaison Officer [RMLO] or an Assistant RMLO, the agency must designate a successor by submitting a [Records Management Liaison Officer Designation \(Form RC-078\)](#).

#### 1b. Agency Relocation, Consolidation, Reorganization, or Closure

In the event of relocation, consolidation, reorganization, or agency closure, records must be properly transferred, pursuant to [CGS §4-38d\(f\)](#), which states, *"unless otherwise expressly provided by law, the head of a department, institution or agency, the functions, powers or duties of which are so assigned or transferred, shall deliver to the department, institution, agency or authority to which such assignment or transfer is made all contracts, books, maps, plans, papers, records and property pertaining to or used in connection with the functions, powers or duties so assigned or transferred."*

Follow the steps as directed in Section 1, above, and note the following additional recommendations:

1. Transfer inactive records that still must be retained to an off-site records storage facility, such as the [State Records Center](#).
2. Transfer all archival records to the State Archives.
3. Organize active files for transfer to the new facility or to the successor agency or program. For transfers to another agency or program, notify the Office of the Public Records Administrator of the transfer by submitting the [Records Disposition Authorization \(Form RC-108\)](#).

## 2. State Agency Publications: Submission Requirements

Pursuant to [CGS §11-9c](#), the State Library administers and provides public access to a permanent “collection of tangible state publications, and to a digital archive of intangible state publications and a depository library system.” Agencies are required to supply the State Library with copies of publications or with links to them if they are only available electronically.

When inventorying records as noted in Section 1 above, the agency must identify any state agency publications and ensure that the State Library has received the required copies or links.

A state agency publication is any publication that is:

- Produced at the total or partial expense of the agency;
- Produced under the authority of the agency or a group of organizations including the agency; or
- Legislatively, judicially, or administratively mandated.

If the publication has been made available in electronic format, submit **2 printed copies**; a **.pdf version** in electronic format; and a **website link** if available. If the publication has been printed for distribution, submit **14 printed copies**.

- **Send electronic versions (.pdf format) and links to:** [csi.cda@ct.gov](mailto:csi.cda@ct.gov)
- **Send paper copies to:** Collection Management Unit, Attn: Connecticut Documents, Connecticut State Library, 231 Capitol Ave., Hartford, CT 06106

For additional information regarding these requirements, refer to the [Connecticut State Documents Depository Program webpage](#) or contact the Government Information Services Unit at (860) 757-6576.