



Public Records Policy 7: *Records Management Liaison Officer (RMLO) and Assistant RMLO - Appointment and Duties*

Date Issued: September 4, 2012

Supersedes: Staff Publication – *RMLO and Assistant RMLO Responsibilities* 2011.07

I. Scope and Authority

This policy outlines agency procedures for appointing Records Management Liaison Officers and any Assistant Records Management Liaison Officers and establishes typical duties and responsibilities for both positions. This policy applies to all state agencies within the executive department.

The Office of the Public Records Administrator issues this statement under the authority granted by *Connecticut General Statutes* §11-8, §11-8a, and §11-8b.

II. Policy and Procedures

Pursuant to *Connecticut General Statutes* §11-8a(f), each state agency must appoint a Records Management Liaison Officer (RMLO) to coordinate records management activities for the agency and to serve as a liaison with the Office of the Public Records Administrator. This office will not approve agency specific retention schedules, disposal requests or record transfers if the agency does not have a designated RMLO.

Records management is the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records. In order for a records management program to be effective, it must encompass all segments of the agency, including all bureaus, divisions, and units.

When appointing an RMLO, therefore, the agency head should select an individual whose position has:

1. considerable knowledge of agency functions and the records created to fulfill those functions; and
2. the authority to direct other agency employees concerning the management of records in their custody.

An agency head may also designate appropriate individuals to serve as Assistant RMLO, such as certain unit supervisors or managers. The Assistant RMLO may support the designated RMLO in carrying out various tasks, but will not have authority to sign off on retention schedules or disposition requests. In the event that the designated RMLO is unable to perform the required duties due to an unexpected, short term absence, the Assistant RMLO may temporarily assume the RMLO duties and responsibilities. The agency must notify the Public Records Administrator in writing as soon as possible and must indicate the estimated length of time until the RMLO will resume the duties or a new appointment will be made.

In some cases, larger agencies may need to appoint an RMLO for each major department, division, bureau or region to ensure that records management needs are handled by an individual with sufficient knowledge and supervision of each major area. Typically, agencies that appoint more than one RMLO are those that oversee a diverse number of functions (typically due to merger or consolidation), have multiple regions, or have major

facilities across the state. An agency RMLO designated to a specific area may act on behalf of another RMLO in the same agency, if necessary.

Only the agency head or an appropriate deputy may appoint RMLOs and Assistant RMLOs. A *Records Management Liaison Officer Designation* (Form RC-078) must be submitted to this office for each designation. If a large agency has multiple RMLOs, the specific area of authority must be indicated for each RMLO.

For your reference, typical duties and responsibilities for each position are described below.

RMLO:

- Implement and maintain the agency records management program
- Create internal guidelines for maintaining and using agency records
- Conduct regular reviews of existing agency records schedules
- Identify out-of-date and inaccurate schedules
- Prepare and submit draft agency schedules
- Review and sign records disposition authorizations
- Disseminate records management information to agency personnel
- Supervise records inventories
- Identify essential operating records for inclusion in the agency Continuity of Operations Plan
- Coordinate the implementation of records technology
- Coordinate transfers of inactive records to the State Records Center or other approved public records storage facilities
- Coordinate transfers of permanent / archival records to the State Archives
- Identify areas of need and arrange for staff training
- Maintain control files of records retention schedules, disposition authorizations, and records transfers

Assistant RMLO:

- Assist the RMLO with implementing and maintaining the agency records management program
- Assist in the preparation of draft agency records retention schedules
- Assist with reviewing disposition authorizations and resolving any questions or issues with the records custodian prior to submitting the form to the RMLO for approval
- Assist in distributing records management information within the agency
- Oversee transfers of inactive records approved by the RMLO to the State Records Center or other approved public records storage facilities

All RMLO(s) and any Assistant RMLO(s) within an agency should work together as a *de facto* agency records committee to ensure the systematic management of the agency's records.

For any questions regarding this policy, please contact this office at (860) 757-6540.