

Records Management Self-Evaluation and Compliance Guide

(12/2010)

The Connecticut State Library, Office of the Public Records Administrator, developed this self-evaluation guide for state agencies to use in assessing their records management program to determine compliance with recordkeeping requirements pursuant to CGS §11-8, §11-8a, and §11-8b. This guide is intended to assist agencies in making an assessment of the status of their records management program, as well as to identify deficiencies and establish priorities for program improvements. Guidelines cited below are available at www.cslib.org/publicrecords.

Section I. Program Authorization and Organization

RMLOs

Pursuant to CGS §11-8a(f), “each state agency shall cooperate with the State Librarian to carry out the provisions of this section and shall designate an agency employee to serve as the records management liaison officer for this purpose.” Agencies should submit the *Records Management Liaison Officer Designation* (Form RC-078) to assign an employee as RMLO. This person should be in a position within the agency to have considerable knowledge of agency functions and the records created to fulfill those functions.

1. The agency has designated an employee to serve as Records Management Liaison Officer (RMLO):

- YES
- NO

2. The agency RMLO is in communication with the Office of the Public Records Administrator:

- YES
- NO

3. Agency employees are informed of the identity and role of the RMLO serving their office(s):

- YES
- NO

4. The agency RMLO disseminates records information to agency personnel:

- YES
- NO

5. The RMLO assists with creating policies, procedures, or guidelines for maintaining and using records in the conduct of agency business:

- YES
- NO

6. The agency RMLO inventories agency records in cooperation with agency program supervisors and/or Assistant RMLO(s):

- YES
- NO

7. The RMLO prepares and approves agency records schedules in cooperation with agency program supervisors and/or Assistant RMLOs for submission to the Office of the Public Records Administrator:

- YES
- NO

8. The RMLO reviews draft records schedules prior to submission to the Office of the Public Records Administrator to ensure the schedules reflect the records of the agency:

- YES
- NO

9. The RMLO prepares and/or reviews and signs *Records Disposition Authorizations* (Form RC-108) for destruction of transfer of records:

- YES
- NO

10. The RMLO supervises disposition of records according to approved retention periods after receiving written authorization from the Office of the Public Records Administrator:

- YES
- NO

11. The RMLO transfers inactive records to approved off-site storage facilities, such as the State Records Center:

- YES
- NO

12. The RMLO transfers records designated as “permanent/archival” to the State Archives:

- YES
- NO

13. The RMLO coordinates and/or implements scanning and other records management technologies in accordance with procedures, guidelines, and regulations established by the Office of the Public Records Administrator:

- YES
- NO

14. The RMLO maintains a control file of all agency records schedules, disposition authorizations, and records of transmittal to the State Records Center, State Archives, or other approved off-site storage facilities:

- YES
- NO

Assistant RMLOs

In order for an agency records management program to be effective, it must include all of the units within the agency (departments, bureaus, divisions, units). One way to accomplish this is to designate certain unit supervisors, managers, or other appropriate employees as Assistant RMLOs or Sub-RMLOs. Assistant RMLOs can work together with the RMLO to form a *de facto* agency records committee. The primary duty of Assistant RMLOs is to help the RMLO in implementing the agency records management program. The appointment of Assistant RMLOs is especially critical in larger agencies that have bureaus, field offices, or multiple facilities. Functions of Assistant RMLOs can vary depending upon the needs of the agency.

15. The agency designates Assistant RMLO(s) to assist with records management functions at the agency:

- YES
- NO

16. The Assistant RMLO(s) assists the agency RMLO with dissemination of information within the agency:

- YES
- NO

17. The Assistant RMLO(s) assist the agency RMLO with creation, maintenance, and use of records within the agency:

- YES
- NO

18. The Assistant RMLO(s) assist the agency RMLO with disposition of records, including reviewing *Records Disposition Authorizations* (Form RC-108), transferring records to off-site records storage facilities, and transferring permanent/archival records to the State Archives:

- YES
- NO

Section II. Records Schedules

Pursuant to CGS §11-8a(b), "The State Librarian may require each such state agency, or each political subdivision of the state, including each probate district, to inventory all books, records, papers and documents under its jurisdiction and to submit to him for approval retention schedules for all such books, records, papers and documents, or he may undertake such inventories and establish such retention schedules, based on the administrative need of retaining such books, records, papers and documents within agency offices or in suitable records centers...."

Records schedules are comprehensive listings of records series, which indicate the length of time each series is to be maintained, as well as the disposition of the series. Records schedules also include a description of the series and relevant legal citations. All records maintained by state agencies must be listed on a records schedule. Records not listed on an approved schedule cannot be destroyed. There are two types of records schedules: **general schedules**, which list records series common to many agencies; and **specific schedules**, which list records series unique to one agency. Agencies should submit a *Records Retention Schedule Worksheet* (Form RC-050W) to begin creating a specific records schedule:

<http://www.cslib.org/publicrecords/opraforms.htm#forms>.

19. The agency has conducted a records inventory to identify all existing records, methods of storage, record format or medium, and methods of arrangement:

- YES
- NO

20. The agency has conducted records analysis to determine record values (administrative value, legal value, fiscal value, and historical/research value) and specific requirements that govern the retention of records (legal requirements, fiscal requirements, and audit requirements):

- YES
- NO

21. The agency has specific records schedule(s):

- YES
- NO

22. The agency has updated all specific records schedule(s) in the last five years:

- YES
- NO

23. The agency RMLO distributes all records schedule(s) to affected employees:

- YES
- NO

24. The agency has identified its essential records on all records schedule(s) (Essential records are the records an agency must have to document its legal authorities, rights and responsibilities; document the rights of individuals; or to maintain or resume operations in a disaster or emergency.):

- YES
- NO

25. The agency has a written disaster plan:

- YES
- NO

26. The agency periodically conducts records inventories to reflect new records series, changes in recordkeeping practices, or changes in programs or agency structure resulting from legislative or other changes:

- YES
- NO

Section III. Records Maintenance

Pursuant to CGS §11-8(a), “under the direction of the State Library Board, the State Librarian shall be responsible for developing and directing a records management program for the books, records, papers and documents of all state agencies within the executive department and the books, records, papers and documents of the several towns, cities, boroughs, districts and other political subdivisions of the state.” Under this authority, the Office of the Public Records Administrator issues guidelines and standards for the management and preservation of public records, including microfilming, scanning, and managing electronic records.

27. The agency has a *Certificate of Compliance for Microfilming Standards for Public Records* on file with the Office of the Public Records Administrator for all microfilming projects:

- YES
- NO

28. The agency has a *Certificate of Compliance for Digital Imaging Standards for Public Records* on file with the Office of the Public Records Administrator for all records imaging/scanning projects:

- YES
- NO

29. The agency is in compliance with the guideline, *Management and Retention of E-mail and other Electronic Messages*:

- YES
- NO

Section IV. Records Storage

Pursuant to CGS §11-8(a), “under the direction of the State Library Board, the State Librarian shall... approve security storage facilities, within or without the state, or establish and operate such facilities within the state, for the safe storage of original public records or security copies thereof.” Agencies can store inactive records at the State Records Center or at off-site records storage facilities in accordance with the *Required Minimum Standards for Public Records Storage Facilities*.

30. If the agency stores records at an off-site records storage facility, is it approved by the Office of the Public Records Administrator?

- YES
- NO

31. If the agency operates an off-site records storage facility, is it approved by the Office of the Public Records Administrator?

- YES
- NO

32. If the agency stores records at the State Records Center, the agency promptly responds to correspondence regarding destruction of records that have met the retention period:

- YES
- NO

33. If the agency stores records off-site, the agency periodically audits records to ensure that inventories, billing, and destruction dates are accurate:

- YES
- NO

Section V. Records Disposition

Pursuant to CGS §11-8a(c), "if the Public Records Administrator and the State Archivist determine that certain books, records, papers and documents which have no further administrative, fiscal or legal usefulness are of historical value to the state, the State Librarian shall direct that they be transferred to the State Library. If the State Librarian determines that such books, records, papers and documents are of no administrative, fiscal, or legal value, and the Public Records Administrator and State Archivist determine that they are of no historical value to the state, the State Librarian shall approve their disposal, whereupon the head of the state agency or political subdivision shall dispose of them as directed by the State Librarian."

Disposition of public records refers to either 1) destruction of records or 2) transfer of records to another custodian. In either case, agencies must submit the *Records Disposition Authorization* (Form RC-108) to the Office of the Public Records Administrator and receive approval **prior** to disposal of the records.

34. The agency routinely submits *Records Disposition Authorizations* (Form RC-108) for records that have fulfilled the retention requirements:

- YES
- NO

35. The agency submits a *Certificate of Records Disposition for Information Systems Records* (Form RC-109) to the Office of the Public Records Administrator on an annual basis for permission to destroy specific Information Systems records:

- YES
- NO

36. The agency destroys records in accordance with approved records schedules:

- YES
- NO

37. The agency obtains *Certificates of Destructions* for records destroyed by vendors:

- YES
- NO

38. The agency submits *Records Disposition Authorizations* (Form RC-108) for records that are transferred to other record custodians due to programmatic changes, agency reorganization, or agency consolidation:

- YES
- NO

39. The agency routinely transfers permanent/historical records to the State Archives or other approved archival repositories for higher education institutions:

YES

NO

40. The agency routinely transfers agency publications to the Connecticut State Library for the State Document Depository Program:

YES

NO

41. The agency has established a destruction hold policy to ensure that no public record may be destroyed if there are pending Freedom of Information Act (FOIA) requests; holds due to audit; litigation (pending and active); investigations; or other cases, claims, or actions:

YES

NO

For further information or assistance, please see www.cslib.org/publicrecords or contact our office at (860) 757-6540.