



Office of the Public Records Administrator
Connecticut State Library
State of Connecticut

Public Records Policy 10: Transfer and Storage of Records at the State Records Center

Date Issued: 12/6/2013

Supersedes: Public Records Policy 10: Transfer and Storage of Records at the State Records Center (revised April 6, 2011).

I. Scope and Authority

Scope

This policy outlines the transfer, accession, and destruction of inactive agency records at the State Records Center. This policy applies to all state agencies within the Executive Branch, as well as certain quasi-public agencies.

Authority

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

Definitions

“Inactive Record” means a record that is no longer needed to conduct current business but preserved until it meets the end of its retention period.

[Source: *A Glossary of Records and Information Management Terms*, 3rd edition, ARMA International.]

“Authorized agency personnel” means the duly appointed Records Management Liaison Officer [RMLO] or duly appointed Assistant Records Management Liaison Officer [ARMLO], or an authorized agency representative whose name, title and contact information has been provided in writing by the RMLO to the State Records Center staff.

II. Policies

Records Eligible for Storage

Only records listed on an approved records retention schedule are eligible for transfer to the Records Center. Records with a retention period of “Permanent” or “Permanent / Archival” are **not** eligible for transfer to the State Records Center.

Inactive Status

Agencies may store inactive agency records at the Records Center. Active records are not eligible for transfer to the Records Center.

Records Custodian

Records stored at the Records Center remain in the legal custody of the creating agency. The Records Center has temporary, physical custody of the records only.

Access to Records

In accordance with the guidelines established by the Office of the Attorney General regarding files covered by the Personal Data Act (CGS §4-190), "only agency employees who have specific need to review personal data records for lawful purposes of the agency will be entitled access of such records." Therefore, records may only be accessed by authorized agency representatives following the established procedures below.

Record Cartons

Records must be stored in approved boxes as listed below.

III. Procedures

a. About the State Records Center

The Records Center is located at 198 West Street in Rocky Hill. The facility is open Monday through Friday, from 8:00 a.m. to 4:00 p.m. The facility has a storage capacity of 75,008 cubic feet of records. The Records Center provides storage, interfiling, records retrieval and re-file, and records destruction services free of charge.

b. Transferring Records to the State Records Center

The agency must first complete and submit the *State Records Center Storage List* (Form RC-100) to obtain a shipment date. The agency should submit the paperwork at least two weeks prior to the date the agency wishes to transfer records. Records Center staff will schedule a shipment date. Shipments cannot be delivered without advance submission of the Form RC-100. The agency is responsible for physically transporting and unloading the records.

Steps to Transfer Records:

1. Obtain Approved Boxes

The Records Center only accepts records in a standard 1.0 cubic foot record carton. Approved boxes have been tested for durability and adhere to the following specifications: inside dimensions are 12"(w) X 15"(d) X 10"(h); box fits either letter-size files along the 12 inch side or legal-size files along the 15 inch side, as well as different sized records if laid flat; box is constructed out of multilayered corrugated double-walled (or more) cardboard on all sides; stacking weight is at least 800 pounds; and box has a removable lift-off lid with reinforced hand holes.

The following boxes are the only approved boxes for use at the Records Center:

Fellowes R-KIVE® Banker's Storage Box:

FEL 00724 (stacking weight: 850, color: black on white)

FEL 07241 (stacking weight: 850, color: green on white)

FEL 07242 (stacking weight: 850, color: red on white)

FEL 07243 (stacking weight: 850, color: blue on white)

FEL 12775 (stacking weight: 800, color: blue on light brown, recycled)

FEL 0083601 (stacking weight: 850, color: black on white, includes 3 dividers)

Fellowes PRESTO® Banker's Storage Box:

FEL 0063601 (stacking weight: 850, color: blue on white)

The following boxes are the only approved boxes for use at the Records Center: (cont.)

Staples Triple Wall Storage Box:

804338 (stacking weight: 1,500, color: gray on white)

These boxes can be purchased from a vendor on DAS state contract. The Records Center does not accept other odd-shaped boxes, such as check boxes, X-ray boxes, engineering containers, or microform boxes. However, if an agency identifies a box that meets the above-listed specifications, they may bring or send the box to the Records Center prior to the shipment date for staff review and possible approval.

2. Pack the Boxes

The agency should pack together records with the same retention period and destruction year in one or more consecutively numbered boxes. Place folders upright in the box. The weight limit for each box is thirty pounds. Do not over-pack the boxes as staff will not accept over-packed or damaged boxes. Use black permanent ink to mark each box with the following information: box number and range. Place this information on the 12" (short) side of the box. **Leave at least a 6" X 2" space for staff use.** Please print legibly and in small print

3. Complete Form RC-100

The form is available online at <http://ctstatelibrary.org/publicrecords/state>. The 15 page form allows for 12 boxes per page for a maximum shipment of 180 boxes. Records packed together must be part of the same records series, and the records series must correspond to an approved records schedule.

How to fill-out the form:

Agency: Full name of agency. Include division or unit and mailing address.

RMLO or Authorized Agency Personnel: Name of agency personnel authorizing transfer of the records.

RMLO Phone: Contact telephone number.

Page _ of _: Page number for total shipment.

Records Schedule and Series No.: As shown on the corresponding records retention schedule, e.g. "S1-015 or 11-1-1 #1."

Records Series Title: As shown on the corresponding records schedule, e.g. "Accreditation Records."

Destruction Year: The year in which the records will be reviewed for destruction, e.g., if the destruction date is 09/2011, list "2012." All records on the same page should have the same destruction year.

Description of Records (as needed): Provide a brief description of the records in each box.

Range of Records (alphabetical or numerical): Provide range for records in each box, e.g., "Jones – Smith" or "Contract Numbers: 123456 – 987654."

Dates of Records: List the inclusive dates of the records from earliest to latest, e.g. "01/2007 – 12/2007" or "2007 – 2008."

Box Number: List box numbers in sequential fashion (use any numbering system that is best for your purposes).

NOTE: The "Accession No.," "Date Records Transferred," and Records Center Location No." columns will be completed by State Records Center staff.

4. Submit Completed Form RC-100

Send the form as an e-mail attachment to CSL.RecordsCenter@ct.gov. Public Records staff will review the paperwork, and if approved, will respond with available dates to receive the shipment. If the paperwork is not approved, staff will advise steps for remediation.

If the agency is a "covered entity," according to the *Standards for Privacy of Individually Identifiable Health Information* (privacy rule) and Security Rule pursuant to the *Health Insurance Portability and Accountability Act* (HIPAA) [45 CFR Part 160, 162, and 164], you should implement technical security measures to guard against unauthorized access to ePHI (Electronic Protected Health Information) that is transmitted over an electronic communications network. The agency may choose to encrypt

the Form RC-100 and Form RC-200 and provide a password through a separate e-mail or telephone call.

5. Deliver the Boxes

Agencies are required to deliver and unload their own shipments on the scheduled date. Boxes must be unloaded in order by box number as listed on the Form RC-100. After the boxes have been delivered, staff will assign a unique Records Center location number to each box and indicate this location on a modified Form RC-100. Staff will return the modified form to the agency. The agency should retain the form as it acts as the container list for records stored at the Records Center.

c. Accessing Records at the Records Center

To gain access to records stored at the Records Center, authorized agency personnel must complete the Form RC-200, available online in the Forms section of the Office of the Public Records Administrator [website](#). Staff will process requests on a first-come, first-served basis. Records are delivered through the Department of Administrative Services' Statewide Courier Service or the agency may visit the facility in person to view and/or retrieve records.

If the agency wishes to add individual documents to an existing box, the agency must request that the box be sent back to them for interfiling purposes. Staff will, however, interfile a complete file within a box, provided that there is adequate space in the box.

d. Destroying Records at the Records Center

When the records have fulfilled the retention period, staff will forward copies of the Form RC-100 to the agency. The agency should review all records listed on the Form RC-100 to ensure that no records scheduled for destruction relate to any pending case, claim, or action. Once reviewed, the agency should sign and return the Form RC-100 to authorize destruction of the records. The Public Records Administrator and the State Archivist will then review and sign the Form RC-100 to verify that the records have fulfilled the retention requirements and no record(s) of enduring historical value will be destroyed. If the agency chooses not to destroy any records, they must request retrieval of records by completing the Form RC-200. These records will be marked as "Returned to Agency Control."

The Records Center will utilize a commercial vendor to confidentially destroy all records by shredding. Once the records have been physically destroyed, staff will deliver a revised copy of the Form RC-100, with all authorizing signatures attesting to destruction, to the agency. The agency should retain this record of destruction in accordance with the *State Agencies' Records Schedule S1: Administrative Records*.

If you have any questions regarding this policy, please contact Records Center staff at (860) 721-2041.

Approved by



LeAnn R. Power, CRM
Public Records Administrator

12/6/2013
Date