

# RECORDS MANAGEMENT TERMS

## RECORDS MANAGEMENT IN THE STATE OF CONNECTICUT

**Office of the Public Records Administrator:** The division of the Connecticut State Library responsible for designing and implementing the Public Records Program for local government agencies and for state agencies within the Executive branch of State government. The office oversees the life cycle of public records; develops standards for record creation, including permanent papers and electronic records; publishes records retention schedules; publishes manuals, general letters, guidelines and standards to keep state and local government agencies informed about current records management issues and requirements; publishes regulations governing municipal records storage vaults and the creation of permanent land maps filed with town clerks; conducts the annual examination of land record indexes; administers grants to municipalities to enhance or improve the preservation and management of historic documents through the Historic Documents Preservation Program; administers the State Records Center; and approves the disposition of all public records. See <http://www.cslib.org/publicrecords/>.

**State Archives:** The unit of the Connecticut State Library responsible for acquiring and preserving the historical records of the three branches of State government to document the evolution of state public policy and its implementation, the rights and claims of citizens, and the history of Connecticut and its people. The State Archivist assists the Public Records Administrator in developing records management guidelines, regulations and records retention schedules for state agencies and local governments, and reviewing all records retention schedules issued by and records disposal authorizations submitted to the Public Records Administrator. See <http://www.cslib.org/archives/>.

**State Records Center:** The State Records Center is a centralized facility administered by the Office of the Public Records Administrator for storage of inactive state agency records. With a storage capacity of 75,000 cubic feet, the State Records Center's services are provided to state agencies free of charge. See <http://www.cslib.org/publicrecords/records.htm>.

**Records Management Liaison Officer (RMLO):** Each state agency must appoint an RMLO to coordinate records management activities on the agency level and to serve as a liaison with the Office of the Public Records Administrator, pursuant to CGS §11-8a(f).

**General Letter:** A policy or procedure issued by the Office of the Public Records Administrator. General Letters provide guidance on topics such as microfilming, digital imaging, and off-site records storage. See <http://www.cslib.org/publicrecords/opraforms.htm#guidelines>.

**Certificate of Compliance:** A form used by an agency / municipality to certify that it adheres to policies or procedures issued by the Office of the Public Records Administrator (usually in the form of a General Letter). Certificates are currently used for Data Processing, Optical / Digital Imaging, Microfilming, and Land Record Examinations. See <http://www.cslib.org/publicrecords/opraforms.htm#guidelines>.

**Records Management:** "The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records." [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

## PUBLIC RECORDS

**Public Record:** "Public records or files' means any recorded data or information relating to the conduct of the public's business prepared, owned, used, received or retained by a public agency, or to which a public agency is entitled to receive a copy by law or contract under section 1-218, whether such data or information be handwritten, typed, tape-recorded, printed, photostated, photographed or recorded by any other method." [Source: CGS §1-200 (5)]

**Record Copy:** "Original or official copy of a record that is retained for legal, operational, or historical purposes." [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Record Custodian:** "An office designated to maintain the record or official copy of a particular record in an organization." [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Active Record:** “A record needed to perform current operations, subject to frequent use, and usually located near the user.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Inactive Record:** “A record no longer needed to conduct current business but preserved until it meets the end of its retention period.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Transitory Record:** “A record that has little or no documentary or evidential value and that need not be set aside for future use.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Non-record:** “Item that is not usually included within the scope of official records.” Examples of non-records are extra (duplicate) copies kept only for convenience, reference materials, and blank forms. [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Life Cycle of Record:** “Distinct phases of a record's existence, from creation to final disposition.” This usually consists of creation, maintenance and use, and final disposition. [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Hard Copy:** “Synonymous with paper.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Essential / Vital Records:** “Records that are fundamental to the functioning of an organization. Certain vital records contain information critical to the continued operation or survival of an organization during or immediately following a crisis. Such records are necessary to continue operations without delay under abnormal conditions. They contain information necessary to recreate an organization's legal and financial status and to preserve the rights and obligations of stakeholders.” [Source: *Vital Records: Identifying, Managing, and Recovering Business-Critical Records*, ANSI/ARMA 5-2003, p. 6]

## APPRAISAL

**Appraisal:** “Process of evaluating records to determine their retention based on administrative, legal, and fiscal requirements and historical value.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Administrative Value:** “The usefulness of a record in the conduct of an organization's business or the value of a record for the purpose for which it was created.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Legal Value:** “Usefulness of a record in complying with statutes and regulations, as evidence in legal proceedings, as legal proof of business transactions, or to protect an individual's or organization's rights and interests.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Fiscal Value:** “Worth of records for the conduct of current or future financial business and/or evidence thereof.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Historical Value:** “Determination that records possess value in documenting the history of an organization and are thus worthy of permanent preservation.” [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

## RECORDS RETENTION SCHEDULES

**Records Retention Schedule:** “A comprehensive list of records series, indicating for each the length of time it is to be maintained and its disposition.” There are two types of records retention / disposition schedules in Connecticut: general schedules for state agencies and for municipalities, respectively, and agency-specific schedules for state agencies. [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Records Retention Schedule, General:** “A records schedule governing specified series of records common to several or all agencies or administrative units of a corporate body, which are sometimes characterized as functional retention schedules.”

There are currently eight (8) general schedules for state agencies and sixteen (16) general schedules for towns, municipalities, and boards of education. To access the general schedules for state agencies, see <http://www.cslib.org/publicrecords/retstate.htm>. To access the general schedules for towns, municipalities, and boards of education, see <http://www.cslib.org/publicrecords/retschedules.htm>. [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Records Retention Schedule, Agency Specific:** A records schedule governing specific series of records unique to an agency. For agency specific retention schedules created after July 1, 2007, see <http://www.cslib.org/publicrecords/retstate.htm>. For agency specific retention schedules issued prior to July 1, 2007, contact the Office of the Public Records Administrator.

**Records Inventory:** "A detailed listing that includes the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records in order to evaluate, appraise, and organize the information." [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Records Series:** "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: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Disposition:** "A final administrative action taken with regard to records, including destruction, transfer to another entity, or permanent preservation." Complete and submit a *Records Disposal Authorization* (Form RC-075 for municipalities / Form RC-108 for state agencies) to request permission for disposition of public records. Disposition may involve destruction of public records or transfer of records to another record custodian. See <http://www.cslib.org/publicrecords/opraforms.htm>. [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**On-site Storage:** "Storage of records on the premises of the organization." [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Off-site Storage:** "A potentially secure location, remote from the primary location, at which inactive or vital records are stored." For the required minimum standards for public records storage facilities, see <http://www.cslib.org/publicrecords/opraforms.htm#guidelines>. [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

## RETENTION PERIODS

**Retention Period:** "Length of time a record must be kept to meet administrative, fiscal, legal, or historical requirements." [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Until Superseded:** A designation indicating the retention period for a record that should be retained until a newer version of the record is created or received.

**Continuously Updated:** A term used to describe the retention period for items, such as databases, in which information is added to, or removed from, on a continual basis.

**Permanent:** "A record that has been determined to have sufficient historical, administrative, legal, fiscal, or other value to warrant continuing preservation." Permanent records are usually maintained at the agency or municipality level. [Source: ARMA International. *Glossary of Records and Information Management Terms*, 3<sup>rd</sup> ed. Lenexa, KS: ARMA International, 2007]

**Permanent/Archival:** A record that has been designated for permanent retention **and** must be retained in an archival repository, such as the Connecticut State Archives.