

Disposing of Inactive Records

The University of Connecticut (UConn) is a public university. UConn is also considered a State Agency under the executive branch of the State of Connecticut. As a public university and State Agency, UConn is subject to the requirements of the Connecticut Freedom of Information Act. This means that any record created or maintained by UConn faculty or staff is presumed to be available to the public, except under very limited circumstances.

The definition of a public record is found in Connecticut General Statute 1-200, which states that “any recorded data or information relating to the conduct of the public’s business prepared, owned, used, received or retained by a public agency whether such data or information be handwritten, typed, tape-recorded, printed, photostatted, photographed or recorded by any other method.” Accordingly, UConn employees should be aware that any e-mails or attachments shared between them and other colleagues or anyone outside the University are potentially public information. This warning includes use of your office computer, lap top, home computer (if used for business purposes), smartphone, or any other University device. For more information on the appropriate use of your University e-mail account see the Electronic (E-mail) communication policy at: <http://policy.uconn.edu/?p=318>.

If you are asked to provide any information or documents in UConn’s possession under the Freedom of Information Act, please contact Paul McCarthy, Senior Counsel, in University Communications immediately for advice and direction before turning over any documents. He may be reached by phone at 860-486-4430. These matters are time sensitive and it is imperative that you forward these requests to him as soon as you receive them.

The University of Connecticut, like other state agencies, is required to follow Records Management disposition policies and procedures. As such, records are kept for a certain period and then may be disposed of, depending upon the type of record it is and whether it is the copy of record, or the copy of the original evidence of the action undertaken. In order to find out how long you need to retain the records, you need to consult the General Schedules, located on the Connecticut State Library website: <http://ctstatelibrary.org/publicrecords/state>.

The RC-108 form is a state form you fill out to apply to dispose of records that have met their retention period. It is available from the Connecticut State Library website: <http://ctstatelibrary.org/publicrecords/state>. It is also available from the Records and Information Management (RIM) website: <http://rim.uconn.edu/forms/>. If you use this particular link, the form is partially completed.

If you are not familiar with this form, we will start at the top.

RECORDS DISPOSITION AUTHORIZATION – STATE AGENCIES Form RC-108 (Revised 07/2011)
AUTHORITY: State agencies in the Executive branch and certain quasi-public agencies proposed for disposition must be on an approved records retention schedule. If INSTRUCTIONS: Fill out the form completely and legibly and submit it to this office custodian, only the RIMLO’s signature is required. To list additional records, use the time of disposal, the RIMLO should record the actual date of disposition, attach STATE AGENCY:

Please make sure that you are using the most recent version of the form. If you submit an older version it will not be accepted.

The most recent form was revised in July 2011 which date is in the upper left hand corner of the page.

AUTHORITY: State agencies in the Executive branch and certain quasi-public agencies must use this form to obtain approval for disposition (destruction proposed for disposition must be on an approved records retention schedule. If a record is not on a schedule, the record cannot be disposed; contact the RMLO for more information).
INSTRUCTIONS: Fill out the form completely and legibly and submit it to this office **30 days** prior to the proposed disposition date. Each form must be signed by the records custodian, only the RMLO's signature is required. To list additional records, use additional forms. For volume of records, see [Guide for Measuring Volume of Records](#). At the time of disposal, the RMLO should record the actual date of disposition, attach any related supporting documentation (e.g., Certificate of Destruction).

STATE AGENCY: University of Connecticut	DIVISION / UNIT: Department, College, Institute, Center...
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Under state agency, please put The University of Connecticut. For the name of the department, please put your Department, School, College, Institute or Center. Your address is your street mailing address as well as your University Unit number.

In most instances you are going to request destruction, so you are going to check the box next to destruction. Whoever is responsible either for completing the form or knowing where these records are or doing the general filing in this area must sign off as the records custodian. This is the person that will be contacted should there be a question about the form.

TYPE OF REQUEST – Indicate one and sign the associated certification statement below:					
<input type="checkbox"/> TRANSFER	I hereby certify that the records listed below are to be transferred. After approval, legal title and custody of the records listed below will be transferred to (include agency name and address):				
<input checked="" type="checkbox"/> DESTRUCTION	I hereby certify that the records listed below have met the retention requirements as indicated on approved records retention schedules issued by the Office of the Public Records Administrator. No records listed, in my opinion, pertain to any pending case, claim, or action. If applicable, all relevant audit reports have been issued.				
RECORDS CUSTODIAN (type or print):	TITLE OF RECORDS CUSTODIAN (type or print):	RECORDS CUSTODIAN SIGNATURE:	DATE SIGNED:	PHONE:	
RMLO (type or print):	TITLE OF RMLO (type or print):	RMLO SIGNATURE:	DATE SIGNED:	PHONE:	
Betsy Pittman	University Archivist			860-486-4507	

Please do not sign in black ink. The state requires originals, and in this day of facsimiles it is very difficult to tell if the form is original if it is signed in black ink.

If it has not already been completed, and you wish to do so, the RMLO (Records Management Liaison Officer) is Betsy Pittman, title is University Archivist, and the telephone number is 860.486.4507.

Now we're getting into describing the documents you are requesting to destroy.

SCHEDULE & SERIES NUMBER (e.g. S1-070 or 11-6-4 #5)	RECORDS SERIES TITLE	DATES OF RECORDS		VOLUME OF RECORDS	PROPOSED DATE OF DISPOSITION
		FROM	THRU		

The Schedule & Series Number and the Record Series Title can be found in the General Schedules located at the Connecticut State Library website: <http://ctstatelibrary.org/publicrecords/general-schedules-state>.

If you look at the Administrative Records, for example, you will see that Calendars for Administrative Head has a series number of S1-050, and a Minimum Retention is the term of office plus 2 years.

Series #	Records Series Title	Description	Retention
S1-050	Calendars – Administrative Head	This series documents daily activities of the administrative head of an agency (i.e., commissioner, executive director, agency head, or chief executive officer).	Term of office plus 2 years [NOTE: term of office is the entire length of time a person holds the position]
S1-060	Calendars – Staff	This series documents daily activities of staff.	1 year after end of year to which record relates

The Series number for Calendars of the Staff is S1-060, with a Minimum Retention period of 1 year after end of year to which record relates.

Below is a sample of a filled in form. You can see that “Routine Correspondence” is repeated both in terms of hard copy and in terms of email. The state does not distinguish between the different formats. This example does as the dates and the volume are different.

The Dates of Records are from the earliest that you have to the most recent that you may destroy. In this case, the minimum retention period for Routine Correspondence is 2 years, and the form is to be submitted in July of 2012, the most recent correspondence that can be authorized for destruction is June 2010.

SCHEDULE & SERIES NUMBER <small>(e.g. S1-070 or 11-6-4 #5)</small>	RECORDS SERIES TITLE	DATES OF RECORDS		VOLUME OF RECORDS	PROPOSED DATE OF DISPOSITION
		FROM	THRU		
1. S1-110	Routine Correspondence	1987	June 2010	2 cf	
2. S1-110	Routine Correspondence (email)	2000	June 2010	3 GB	
3. S2-040	Applications for Employment- Not Hired	1999	June 2009	4 cf	
4. S3-230	Purchasing Card Records	2006	June 2009	3 cf	
5. S5-760	Grade Books-- Faculty	1952	June 2007	6 cf	

VOLUME OF RECORDS
2 cf
3 GB
4 cf
3 cf
6 cf

Volume of Records is an estimate only. A file drawer in a vertical file cabinet holds about 2 cubic feet. A file drawer in a lateral file cabinet holds about 3 cubic feet. A paper box holds about 1.5 cubic feet.

Email and other electronic records are measured in megabytes or gigabytes, not in the number of cds or dvds or the number of files.

Try to give a good estimate of the volume of records you have.

Series #	Records Series Title	Description	Minimum Retention	Disposition
S2-010	Affirmative Action Plans and Reports	Consists of affirmative action plans and reports used to monitor the implementation of plans.	5 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108
S2-020	Affirmative Action Records	Consists of records that document affirmative action initiatives and policies.	2 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108
S2-030	Applications for Employment – Hired	Consists of records that document the application process for applicants that were hired. Including but not limited to: applications, cover letters, references, and résumés.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108
S2-040	Applications for Employment – Not Hired	Consists of records that document the application process for applicants that were not hired. Including but not limited to: applications, cover letters, references, and résumés.	2 years from date position filled or closed	Destroy after receipt of signed Form RC-108

UConn’s “Searches” are called Applications for Employment – Not Hired by the General Schedules. There Series number is S2-040, and though it says that the Minimum Retention period is 2 years, The Office of Institutional Equity (OIE) requires that offices keep these records for a minimum of 3 years.

One of the most common financial records many office have and for which they have the copy of record, are ProCard records. The schedule and series number is S3-230. The record series title is Purchasing Card Records. Keep in mind that the state’s minimum required retention period for most financial records is three years or until audited¹. However, the University has adopted a longer retention period of 7 years for financial records².

SCHEDULE & SERIES NUMBER (e.g. S1-070 or 11-6-4 #5)		RECORDS SERIES TITLE
1.	S1-110	Routine Correspondence
2.	S1-110	Routine Correspondence (email)
3.	S2-040	Applications for Employment- Not Hired
4.	S3-230	Purchasing Card Records
5.	S5-760	Grade Books-- Faculty

For example, on July 2, 2012, the state finalized the audit through Fiscal Years 2008 and 2009. You may now request to destroy your fiscal records through June of 2009. This is because the University was audited through June of 2009 and the records are at least 7 years old at the time this

document was published. Therefore, in this example, both the state and University’s retention requirements were met.

¹ As stated within the Fiscal Records Retention Schedule, “The minimum retention requirement, “3 years, or until audited, whichever is later,” requires further explanation. In most instances ‘audit’ refers to the general agency audit conducted by the State Auditors of Public Accounts, unless otherwise noted. The specific record itself may or may not have been examined as part of the audit process.” Go to <https://www.cga.ct.gov/apa/audit-reports.asp#U> to check what audits were completed by fiscal year.

² Keep in mind, you may not always have the “copy of record” or “official record copy.” If you do not have the copy of record, generally you may dispose of the records when no longer administratively useful. For further guidance on how to determine if you have the “copy of record” visit: <http://rim.uconn.edu/tutorials/>.

Once you have filled in the different types of records that you have and assigned the different Schedules and Series numbers, please sign the form and mail the original to:

Betsy Pittman
Archives & Special Collections
Thomas J. Dodd Research Center
405 Babbidge Road, Unit 1205
Storrs, CT 06269-1205

Or

Betsy Pittman, U-Box 1205 (Intercampus Mail)

Once reviewed and sent to the State Library, it takes about a month before it is returned with all its approvals and signatures.

Do not destroy the records before you receive notification that the records were approved for destruction.

Once you receive a PDF copy of the form with its four signatures, you may destroy the records listed.

As of August 1, 2016 the RMLO will maintain the official copy of the RC-108 form moving forward. Any RC-108 forms that were authorized prior to this date remain the responsibility of the record custodians.

EXCEPTION:

You are responsible for these records should any litigation hold be place on them, or for any FOIA request.

Even if you have received permission to destroy, if the records exist at the time you receive the FOIA request or Litigation Hold Notice, you may NOT destroy them until you have been notified by Audit, Compliance & Ethics or the Office of General Counsel that the request has been satisfied or the hold has been lifted.