

Managing Change

Some state agencies may be faced with reorganization, consolidation, relocation, or closure of facilities or programs due to the current fiscal situation. As such, staff must carefully consider how the agency's records will be handled. It is important that an agency plans for transfer, relocation, and/or disposition of the records and develops a written policy regarding the appropriate care and preservation of those records. Please review this flyer and contact the Office of the Public Records Administrator for further guidance.

Organizational Change

Pursuant to CGS §4-38d(f), "unless otherwise expressly provided by law, the head of a department, institution or agency, the functions, powers or duties of which are so assigned or transferred, shall deliver to the department, institution, agency or authority to which such assignment or transfer is made all contracts, books, maps, plans, papers, records and property pertaining to or used in connection with the functions, powers or duties so assigned or transferred."

Follow these seven steps to make a relocation, consolidation, or reorganization more efficient:

1. Inventory the records of any departments, bureaus, or units that may be affected (don't forget off-site storage and electronic records).
2. Identify and dispose of non-records (e.g., reference publications and duplicate materials).
3. Consult records retention schedules (both general and agency-specific schedules) to determine retention periods.
4. Forward state publications to the Connecticut State Library (Pursuant to CGS §11-9d).
5. Dispose of records after receiving a signed *Records Disposal Authorization* (Form RC-108).
6. Transfer any archival records to the State Archives (refer to General Letter #2009-1).
7. Prepare remaining files for transfer of custody to successor agency or program. For transfers to another agency or program, obtain prior approval from the Office of the Public Records Administrator by submitting a *Records Disposal Authorization* (Form RC-108). Once custody has been established, arrangements can be made to send inactive records to an off-site records storage facility (e.g., the State Records Center).

Personnel Change

Due to the impending Retirement Incentive Package (RIP), careful planning is needed to ensure that records in the care of these employees are maintained. The following procedures should also be used for resignations, terminations, and layoffs.

Follow these seven steps to manage the records of an outgoing employee:

1. Inventory all records in the person's custody.
2. Identify and dispose of non-records (e.g., reference publications and duplicate materials).
3. Consult records retention schedules (both general and agency-specific schedules) to determine retention periods.
4. Forward state publications to the Connecticut State Library (Pursuant to CGS §11-9d).
5. Dispose of records after receiving a signed *Records Disposal Authorization* (Form RC-108).
6. Transfer custody of records to appropriate authority (e.g., successor, someone else in work unit, or different department).
7. If the employee was an RMLO or Assistant RMLO, designate a successor (Use *Records Management Liaison Officer Designation*, Form RC-078).