

Records Management Guidelines

Purpose: The purpose of these guidelines is to establish a systematic approach to managing the retention and disposal of records at CT State Community College. These guidelines ensure compliance with state regulations and promote efficient record-keeping practices.

Scope: These guidelines apply to all records, regardless of format, created, received, or maintained by CT State Community College.

Definitions:

- **Record Keeper/Custodian:** The individual or department responsible for the creation, maintenance, and care of records. Below are a few examples of records custodians:

RECORD TYPE	CUSTODIAN	
Fiscal Records	Campus Associate Director of Finance and Administration or equivalent	
Human Resources Records	HR Director, HR Manager, HR Generalist or equivalent	
Student Disciplinary Records	Campus Dean of Student Affairs or equivalent	
Student Education Records	Records Housed on a Campus	Campus Supervisor of Enrollment Services or equivalent
	Records Housed in Banner	Director of Registration & Academic History or the College Registrar
Civil Rights Investigations, ADA, Affirmative Action Plan Records		Office of Equity and Civil Rights

- **Records Management Liaison Officer (RMLO):** The designated individual responsible for coordinating records management activities and liaising with the state library for approval of record destruction.

- **Assistant Records Management Liaison Officer (ARMLO):** An individual who may support the designated RMLO in carrying out various tasks, but will not have authority to sign off on retention schedules or disposition requests. In the event that the designated RMLO is unable to perform the required duties due to an unexpected, short-term absence, the Assistant RMLO may temporarily assume the RMLO duties and responsibilities.

Procedure:

1. Retention of Records:

- Records must be retained for the established retention periods as listed on published records retention schedules, available at <http://ctstatelibrary.org/publicrecords/>. Retention requirements apply only to the official record copy.
- Records must be stored in a manner that ensures their security, accessibility, and preservation.

2. Initiation of Record Destruction:

- The Record Keeper/Custodian is responsible for initiating the destruction of records that have met their retention period.
- The Record Keeper/Custodian must ensure that records identified for destruction are not subject to any ongoing legal, audit, or administrative holds. Please note that a majority of fiscal records must be retained until that fiscal year is audited.
- Twice a year (summer break and winter break) CT State will conduct a college-wide purge of those records eligible for destruction.

3. Approval for Record Destruction:

- The RMLO for the campus is responsible for requesting approval for the destruction of records from the state library.

- The RMLO must complete and submit the necessary forms to the state library for approval.
- No records may be destroyed without prior approval from the state library.

4. Destruction of Records:

- Upon receiving approval from the state library, the Record Keeper/Custodian must arrange for the secure destruction of the records.
- The destruction process must ensure that records are rendered unreadable and irretrievable.

5. Documentation:

- The Record Keeper/Custodian must maintain documentation of all records destroyed, including the approval from the state library and the method of destruction.
- The RMLO must keep a copy of the destruction approval and related documentation for audit purposes.

Responsibilities:

- **Record Keeper/Custodian:** Initiate the destruction of records, ensure compliance with retention schedules, and maintain documentation of destroyed records.
- **RMLO:** Request approval for record destruction from the state library, maintain records of approvals, and coordinate records management activities.