STATE OF CONNECTICUT

REGISTRAR OF VOTERS CERTIFICATION PROGRAM

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SECTION 3
REGISTRARS’ OFFICE MANAGEMENT
REGISTRARS’ OFFICE MANAGEMENT

A. Election Resources
B. Ethics – Non-partisanship & Teamwork
C. Personnel Issues
D. Public Relations, Outreach & Communications
E. Budgeting & Representing Office at Municipal Budget Meetings
F. Record Retention
G. Other Duties
A. Election Resources
WHAT ARE WE GOING TO COVER?

1. Centralized Voter Registration System (CVRS/ConnVerse)
2. Secretary of the State (SOTS) Website
3. State Elections Enforcement Commission (SEEC) Website
4. Registrar of Voters Association of Connecticut (ROVAC)
5. Connecticut General Assembly Website
A major election resource is the Centralized Voter Registration System (CVRS).

CVRS is designed to standardize and centralize the registration of voters throughout the state to support online voter registration.

Its functions include the adding and changing of voter registrations, compiling of statistics for NVRA, generation of official registry and enrollment lists and other reports, and online inquiry of the entire statewide voter list.
CENTRALIZED VOTER REGISTRATION SYSTEM (CVRS)

- It is a user friendly system.

- Data entry screens are easy use so the user can move through records quickly.

- It went through a major update in the last few years so the screens no longer appear they way the originally did.
CENTRALIZED VOTER REGISTRATION SYSTEM (CVRS)

CVRS MENUS:

ACTIVITIES MENU
INQUIRIES MENU
REPORT MENU

ALSO:

REMINDEERS*
UPDATES
HELP
Connecticut Centralized Voter Registration System (CVRS)

User Manual for Registrars
Another key election resource is the Secretary of the State’s website.

www.ct.gov/sots

Elections laws & Regulations

Communications from the Elections Division (LEAD)

Links to federal election administration resources

Election Administration Forms, Guides & Manuals

Voter Guides & Forms
The Office of
Secretary of the State Denise W. Merrill

Elections and Voting
Business Services
Other Agency Services
Civic Engagement
Press Room
Search Office of The Secretary of State
by Keyword

Need Help Launching a Business in Connecticut?
Start Here

The Business Startup Tool
Need help launching a business in Connecticut? The Business Startup Tool will help you to get your business started on the right footing, using an online tool that leads you easily through all the steps.
Popular Services

Register Online to Vote

Search a Business

MyVoteCT

Business Startup Tool

Notary

Authentication and Apostille

State Register and Manual
Anyone encountering election-related problems can contact the Election Day hotline at 1-866-733-2463 or by sending an email to elections@ct.gov.

**Online Election Results**

**Registering to Vote in CT**
- Am I eligible to vote in CT?
- Am I registered to vote in CT?
- Register to Vote Online
- Voter Registration Paper Form
- Voter Registration Deadlines
- Voter ID Requirements in CT
- Where and how do I vote?

**Ways to Vote in CT and Election Day Information**
- Election Day Registration/Locations
- Polling Place Locator
- Where and how do I vote?
- Voter ID Requirements in CT
Important Resources For Voters

- First Time Voter Fact Sheet
- Student Voter Fact Sheet
- Voter with Disabilities Fact Sheet
- Homeless Voter Fact Sheet
- Restoring Your Voter Rights
- Important Election Dates and Deadlines
- Local Officials Contact Information
- Important Message for Voters with Disabilities from OPA
- Voter Registration Promotional Materials

Voting Outside of CT

- Rock the Vote
- National Association of Secretary of State's Member Roster
The Business Startup Tool

Need help launching a business in Connecticut? The Business Startup Tool will help you to get your business started on the right footing, using an online tool that leads you easily through all the steps.
Election Officials

- Calendars (Current and Archive)
- Calculator - Unknown Votes
- Communications from LEAD
- Conference Calls for Elected Officials
- Offices to be Filled at a State Election (ED-101 Acrobat fillable form)
- List of Qualified Justices (ED-134 Word Document - Click Enable Editing)
- Appointments to Fill Vacancies - Justice of the Peace (ED-134a Acrobat fillable form)
- Vacancy in Elective Office - Justice of the Peace (ED-638c Acrobat fillable form)
- List of Nominees for Municipal Office (ED-633)
- Appointment of Assistant Town Clerk (ED-636-2 Acrobat fillable form)
- Vacancy/Appointment in Elective Office (ED-638 Acrobat fillable form)
- Help America Vote Act (HAVA)
- Handbooks (Moderators, Absentee Ballot Counters, Recanvass and Audit)
- Moderator Certification
- Registrar of Voters Certification Committee Meeting
- Election Night Reporting Training
- Emergency Contingency Model Plan for Elections
Voter Information

- Register to Vote Online
- MyVoteCT
- EDR Locations
- Am I registered to vote?
- Where and how do I vote?
- Can I vote by absentee ballot?
- Election Day Registration
- November 7, 2017 Town-By-Town Sample Ballots
- Town-By-Town Sample Ballots
- Military and overseas voter information
- Who are my elected officials?
The State Election Enforcement Commission website is also a great resource.

www.ct.gov/seec

SEEC Cases

Enforcement Attorney Contact Information

Links to Election laws and regulations (SEEC)
The Commission serves as an impartial arbiter of election complaints, and issues decisions in the areas of campaign finance and election administration, including contribution limits and sources, such as the lobbyist and contractor contribution and solicitation ban, campaign disclosure reporting, the Citizens Election Program, the process of voting, the right to be or remain an elector, and the federal Help America Vote Act. Decisions are made by the Commission and a matter could be dismissed if no violation of election law is found, resolved through a consent agreement or determined by final decision made after a hearing conducted in accordance with the Uniform Administrative Procedures Act.
What's New

October 2016 SEEC Newsletter

Posted: September, 2016
Upcoming Filing Deadlines for October Quarterly

Posted: September, 2016
Biennial Re-Registration Due of All Ongoing Political Committees by November 15, 2016

Posted: September, 2016
SEEC Upcoming Events

Posted: September, 2016
Declaratory Ruling 2016-1: Funding for Concurrent Regular and Special Elections for Office of General Assembly Occurring on Same Ballot on Same Election Day

Posted: August, 2016
Secondary Payees FAQs

Posted: February, 2016
A 2016 Guide for General Assembly Candidates Participating in the Citizens' Election Program

Quick Links
- eCRIS online Filing System
- Commission Minutes and Agendas
- Candidate and Political Committee Lists
- Filing Calendars
- Forms
  - File a Complaint
  - Guidebooks
- Training
- Contribution Limits & Restrictions
- Employment Opportunities
- What's New - Archives

Quick Search
- Organizational Expenditure Search
- Independent Expenditure Search
STATE ELECTIONS ENFORCEMENT COMMISSION

CONTACT US

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20 Trinity ST
Hartford, CT 06106

Suite 101
Suite 301
Suite 501

**Phone Numbers**

- (860) 256-2940
- 1-866-SEEC-INFO
- (1-866-733-2463)

**Fax**

- (860) 256-2981
- (860) 256-2983

**Email**

SEEC@ct.gov

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**FAQs**

**FILE A COMPLAINT**

**January 2012 Calendar**

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**eCRIS INFO**

- Help Desk: (860) 256-2930
- E-mail: seec.eCRIS.info@ct.gov

**CANDIDATE SERVICES**

- Help Desk: (860) 256-2985
- E-mail: public.finance@ct.gov

**COMPLIANCE**

- Help Desk: (860) 256-2925
- E-mail: seec.compliance@ct.gov
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ROVAC

- Registrar of Voters Association of Connecticut (ROVAC) in another terrific resource.
- [www.rovac.org](http://www.rovac.org) - allows non-member access.
- Contains manuals, information on various websites and other useful documents and links.
Quick Links

- Announcements
- Moderator Training
- Conference Info
- Handbook
- Login

You are here: Home > ELECTIONS ADMIN. INFO > Links

LINKS

We have found the following links to other organizations to be useful for researchers and others seeking information about the Elections process. The Material presented through these links is the independent product of these other organizations and is not sponsored or endorsed by this Elections Organization. Furthermore, any views expressed on the partie linked sites or their associated organizations are not shared by the Registrars of Voters Association of Connecticut

Comments, suggestions, or questions regarding the information obtained through these links should be directed to the originating organization and not to this Elections Organization.
CONNECTICUT GENERAL ASSEMBLY (CGA) WEBSITE

- [www.cga.ct.gov](http://www.cga.ct.gov)
- State statutes, regulations, pending bills and other legislative information.
- Office of Legislative Research (OLR) publications can be found here.
  - They produce a yearly report summarizing the acts from that year that affect town clerks and elections.
  - Bill analysis
  - Plain language public act summaries
During the interim, House and Senate documents from the previous Legislative Session are available by selecting links from the Session Items.

OLR's Public Act Summary books contain summaries of bills passed during regular and special sessions.

The 2016 PA Summary Book is available in print or electronic format.
QUICK REVIEW

- What system do you use to enter voter registration information?
- What are 2 important features of the SOTS website?
- Where can you find SEEC decisions?
- Why is ROVAC.org a good resource?
- What are 3 important features of the CGA website?
- PERSONAL EXPERIENCES
QUESTIONS?
REGISTRARS’ OFFICE MANAGEMENT

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ETHICS

- An area of study concerning what is considered good and bad behavior.
- A branch of philosophy dealing with what is morally right or wrong.
The State of Connecticut has a Code of Ethics, as do many municipalities.

ROVAC adopted their Code of Ethics at their Annual Conference in April of 2008.
ROVAC CODE OF ETHICS

- First produced by the Election Center in Houston, Texas

- First known Code of Ethics for any election & registration officials.

- Judy Beaudreau, Town of Vernon, CT ROV and former ROVAC president, participated in its development.
ROVAC CODE OF ETHICS

- It outlines principles of conduct for election officials during elections and registration of voters.

- Provides that as gatekeepers of democracy it is the responsibility of election officials to promote public trust & confidence in the electoral process by acting in a fair, accurate & efficient manner.

- It also imparts a personal pledge to work together and to always place the integrity of the electoral process before any personal or partisan gain.
While not prescribed by law, there is no place for partisanship when conducting your responsibilities.

- For example:
  - No talking politics in the office;
  - No conducting town committee or party business in the office;
  - Don’t steer voters towards one party or the other;
  - Remind visitors to talk politics outside the office;
  - Treat every exchange with a voter in a non-partisan way; and
  - Answer the phone generically, not with your party affiliation.

There should be a nonpartisan working relationship between the different party representatives. Try and work as a team and fairly divide the workload.

Each registrar should do their best to keep each other in the loop with respect to election questions, issues, or problems that arise.
What are some principles of the ROVAC Code of Ethics?
Does partisanship have a role in the administration of ROV’s responsibilities?
PERSONAL EXPERIENCES
QUESTIONS?
REGISTRARS’ OFFICE MANAGEMENT

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WHAT ARE WE GOING TO COVER?

1. ROLE OF DEPUTY AND ASSISTANT REGISTRARS
2. HIRING PRACTICES – POLL WORKERS
Each municipality in the state must elect one ROV from each of the 2 major parties (currently the Democratic & Republican party) to serve as election administrators and to handle various other election related affairs.

A third party registrar may also be elected if such candidate receives more votes than either major party candidate.*

The ROVs must live in that municipality.

Terms are either 2 or 4 years depending on the municipality.
Each ROV must appoint a Deputy Registrar

- **When?** This appointment must be made immediately after the election.
- **Who Can Serve?** Must be an enrolled member of the ROVs party (for the 6 months preceding the appointment) and an *elector* of the municipality.

- They serve at the ROVs pleasure.
- ROV can fill a vacancy at any time.
- ROV must file a certificate of the appointment with the Town Clerk.
- DROV must be sworn in.

C.G.S. §§ 9-192, 9-193
ROLE OF DEPUTY & ASSISTANT REGISTRARS

DEPUTY REGISTRAR

- **DUTIES:**
  - Assist ROV when required;
  - Take on the ROV duties in the ROVs absence or inability to act; and
  - Become the ROV in the event of the ROVs:
    - Death;
    - Removal; or
    - Resignation.

C.G.S. § 9-192
What if the ROV fails to appoint a deputy?

The town committee, or authority set forth in the local party rules, can appoint a suitable deputy from the same party as the ROV.
Each ROV can, as needed, appoint and employ up to 4 assistant registrars for each voting district in the municipality.

- Serve at the pleasure of the ROV
- Assist the ROV with their duties.
- Must be an elector of the municipality
- ROV must file a certification with the Town Clerk of each such appointment.
- Must be sworn in.

C.G.S. §§ 9-192, 9-193
Each ROV can, as needed, appoint as many other assistants as needed for the performance of their voter registration duties found in C.G.S. §§ 9-12 through 9-45 on Election Day and the 6 days before.
ROLE OF DEPUTY & ASSISTANT REGISTRARS

SPECIAL ASSISTANT REGISTRARS

Each ROV can also appoint and employ as many special assistant registrars as are necessary to carry out their registration session duties pursuant to a session held according to C.G.S. §§ 9-19b (in person sessions) & 9-19c(a) (group sessions).

- Serve at the pleasure of the ROV
- Assist the ROV with their duties.
- Must be an elector of the municipality
- ROV must file a certification with the Town Clerk of each such appointment.
- Must be sworn in.

C.G.S. § 9-192
ROLE OF DEPUTY & ASSISTANT REGISTRARS

IN THE ABSENCE OF THE ROV

The deputy or any of the assistant registrars have all the powers, and may perform all of the duties, of the ROV.

This does not apply to special assistants.

C.G.S. § 9-192
ROLE OF DEPUTY & ASSISTANT REGISTRARS

REGISTRAR ON THE BALLOT

- When a sitting registrar and *deputy registrar* is on the ballot for ROV, they CAN perform their official duties on Election Day. (Public Act 18-120 repealed and replaced Section 9-258 and included the deputy registrar).

- When a sitting registrar is on the ballot for another office, they CANNOT perform their duties on Election Day. Their deputy must perform those duties.

C.G.S. § 9-258
PERSONNEL ISSUES

INCOMPATIBLE OFFICES ON THE BALLOT

Pursuant to Connecticut law:

No Selectman or Town Clerk can also be elected as ROV;
AND
No ROV can also hold the office of Town Clerk.

C.G.S. § 9-210
PERSONNEL ISSUES

INCOMPATIBLE OFFICES ON THE BALLOT

- If the ROV is elected to the office of Town Clerk or Selectman and accepts the office, they shall cease to be an ROV and a vacancy arises.

- If the Town Clerk or Selectman is elected ROV, the election is void.

**In either case, the selectmen appoint another registrar by a writing signed by them and filed with the Town Clerk.

C.G.S. § 9-210
HIRING PRACTICES – POLL WORKERS

For each election ROVs will have to find and appoint a number of election officials to work at each polling place.

- Things to consider when hiring poll workers:
  - The number of polling places you have
  - The projected number of expected voters
  - Available for a full day or split shift half day? Days can start as early at 5am and last well past 8pm.
  - Must be 16 years of age or older
  - Registered voter in CT
  - Number of positions needed - including but not limited to: checkers, tabulator tenders, ballot clerks, interpreters, greeters and demonstrators, EDR clerks, absentee ballot counters, traffic monitors, and moderators for each polling place.
  - Are they available for the required 2 hours of training prior to the election? Moderator’s require 5 hours of training and certification.
HIRING PRACTICES – POLL WORKERS

OUTREACH

- Online notices – ROV website
- Notices in high school, local or regional newspapers
- Contact town’s youth services department or put notices in high schools (16-17 year olds can work half day shifts)
- Social media (Ex. ROV Facebook page)
- Distribute applications
- Word of mouth
- Public library
- Town Committees
- Voter advocacy groups (ex. LWV)
- Other
ESTABLISHING POLL WORKER’S PAY

✓ No specific statute governs the pay rate or other compensation of poll workers.
✓ Poll workers can be paid *hourly* or *per day*.
✓ ROVAC periodically conducts a survey to determine what each town pays their poll workers.
HIRING PRACTICES – POLL WORKERS

POLL WORKER COMPENSATION

✓ Payroll or Independent Contractor?
  ✓ Each town determines whether the poll worker is on the town pay roll or is a contract worker for IRS reporting requirements.

✓ Temporary employees or independent contractors?
  ✓ This question arises quite often.
  ✓ IRS considers them common law employees that are required to receive a W-2.
POLL WORKER COMPENSATION

Compensation paid for election workers is included in income, and may be subject to income tax and FICA taxes as well as reporting requirements.
## Hiring Practices – Poll Workers

<table>
<thead>
<tr>
<th>Wages Earned by Election Workers for Election Services</th>
<th>W-2/ Wage Reporting</th>
<th>FICA Withholding &amp; Reporting</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1-599</td>
<td>Not Required</td>
<td>Not Required</td>
</tr>
<tr>
<td>$600-$1699</td>
<td>Required</td>
<td>Not Required</td>
</tr>
<tr>
<td>$1700 or more</td>
<td>Required</td>
<td>Required entire amount of wages</td>
</tr>
</tbody>
</table>

These numbers can change over time so always consult irs.gov!
HIRING PRACTICES – POLL WORKERS

WITHHOLDING & REPORTING REQUIREMENTS

- For more information:
  - IRS.gov (Internal Revenue Service)
  - SSA.gov (Social Security Administration)

- Each site has links & information specific to the compensation of election officials.
HIRING PRACTICES – POLL WORKERS

NON-DISCRIMINATORY HIRING PRACTICES

• Several federal laws prohibit job discrimination on the basis of race, color, religion, sex, national origin, age, disability. Examples:
  1. Title VII of the Civil Rights Act
  2. Equal Pay Act
  3. Age Discrimination Act
  4. Americans with Disabilities Act

• Pursuant to these laws, it is illegal to discriminate in the aforementioned ways in any aspect of employment including (but not limited to):
  • Hiring & firing
  • Compensation
  • Assignment

**Many states and municipalities have further expanded these protections.**
HIRING PRACTICES – POLL WORKERS

NON-DISCRIMINATORY HIRING PRACTICES

- **ADA**: The Americans with Disabilities Act was enacted in 1990 and prohibits, among other things, discrimination on the basis of disability in employment.

- **Equal Employment Opportunities**: Title I requires employers with 15 or more employees to provide qualified individuals with disabilities an equal opportunity to benefit from the full range of employment related opportunities that is available to others.
HIRING PRACTICES – POLL WORKERS

NON-DISCRIMINATORY HIRING PRACTICES

- Restricted Inquiry: Title I also restricts questions that can be asked about an applicant’s disability before a job offer is made including the existence of a disability.

- Accommodations: It also requires the employer to provide reasonable accommodations to manage the individual’s known physical or mental limitations. *Exception: Undue hardship.

- For more information: ADA.gov and/or consult your municipal human resources department/person or municipal attorney.
HIRING PRACTICES – POLL WORKERS

SEXUAL HARASSMENT

- Form of discrimination that violates Title VII of the Civil Rights Act of 1964 (CRA).
- CRA also applies to employers with 15 or more employees. It applies to local governments (among others).
SEXUAL HARASSMENT

This includes practices ranging from:

- Direct requests for sexual favors; to
- Workplace conditions that create a hostile environment for persons of either gender (including same sex harassment).
SEXUAL HARASSMENT

- The victim does not have to be the person harassed but could be anyone affected by the offensive conduct.
- The harasser can be the victim’s supervisor, an agent of the employer, a co-worker, or a non-employee.
SEXUAL HARASSMENT

- Prevention is the best tool to eliminate sexual harassment in the workplace. Employers should take steps necessary to prevent it from occurring and clearly communicate to employees that it will not be tolerated.

- Questions: consult your municipal human resources department/person and/or municipal attorney.
When must you appoint a deputy?
Who can serve?
What must you file with the Town Clerk?
How many Assistant ROVs can you appoint for each voting district?
Who performs the ROVs duties in their absence?
Can an ROV perform their duties if they are also on the ballot for an office other than ROV?
If a sitting ROV is elected TC and accepts that office, can they still be ROV?
Is sexual harassment allowed in the workplace?
Can you ask someone if they have a disability before hiring them?

PERSONAL EXPERIENCES
QUESTIONS?
REGISTRARS’ OFFICE MANAGEMENT

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It is important to have effective methods to connect with the public.
PUBLIC RELATIONS, OUTREACH & COMMUNICATIONS

WRITTEN COMMUNICATIONS

- Make sure that your written communication are effective.
  - Clear message
  - Plain language

*Also keep the ROV website (and/or social media) information for your municipality up to date.
PUBLIC RELATIONS, OUTREACH & COMMUNICATIONS

OUTREACH

• Establish a network of community organizations, voter advocacy groups, media, and schools.

• Volunteer on ROVAC committees or task forces with the SOTS.

• This can help with your voter registration and election administration responsibilities. Examples:
  • Voter registration drives & locations
  • Public notices
  • Polling place locations
  • Poll workers
PUBLIC RELATIONS, OUTREACH & COMMUNICATIONS

COMMUNITY & SPECIAL PROJECTS

Examples:

- Conduct voter education initiatives
- Work with various organizations to maintain voter registration at the highest levels.
- Conduct voter registration drives at high schools, senior centers and special functions.
- Host meetings with other election officials on voting technology
- Work with SOTS on developing new training programs
- Supervise college/graduate school interns in political science/social work/public administration, etc.
QUICK REVIEW

- Is community outreach important?
- PERSONAL EXPERIENCES
QUESTIONS?
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BUDGETING & REPRESENTING YOUR OFFICE AT MUNICIPAL BUDGET MEETINGS

- ROV’s are responsible for the preparation and presentation of a fiscal year budget as well as the budgets for all elections.

- You will also need to plan for future needs.

- ROVAC website has a sample excel spreadsheet of a Payroll Breakdown of ROV’s Responsibilities.
BUDGETING & REPRESENTING YOUR OFFICE AT MUNICIPAL BUDGET MEETINGS

- The ROVs budget needs will vary by type of year (election cycle).

- ROVs can calculate each year’s election/primary/referendum events, staffing in the office & polls, training needs, supplies, machine maintenance, technology updates, etc.

- A lot of offices construct this from scratch every year (in other words, start it from $0).

- Identify your needs – some things you will know an exact $ amount for (# of poll workers & pay), but others you’ll need to estimate.
quick review

✓ Who creates the budget for the ROV?
✓ PERSONAL EXPERIENCES
A. Election Resources
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STORING ORIGINAL VOTER REGISTRATION APPLICATIONS
& OTHER PUBLIC DOCUMENTS

ROVs are required by law to maintain, have on file and retain many documents, records, lists and other documents.

These include but are not limited to:

- Registration Applications
- Paperwork filed with Changes to Voter Information
- CVR Records
- Records of all CVR letters sent & responses
- Records of all Property Transfer Letters & Responses
- Felony Conviction and Release Notices
- DMV Records of Changes
- List of Polling Officials
- Enrollment & Registry Lists
- Disposal Records
Retirement periods are based on the records’ administrative, fiscal, legal, and historical values, as well as statutory or regulatory requirements.

In most instances the established period sets the minimum retention requirement.

However, some records have maximum retention periods set by Federal or State statutes or regulations and must be destroyed at the end of the retention period.

*** NOTE: There is no statutory distinction between primaries or other types of elections for retention purposes unless specifically noted in the retention period listed in a records series.
Several state statutes apply to records created & maintained by the ROVs:

- **Title 1**: Chapters 3 & 14, Public Records & Freedom of Information Act
- **Title 7**: Chapters 32 & 97, Town Clerks and Municipalities General Provisions
- **Title 9**: Elections
# RECORD RETENTION & DISPOSITION SCHEDULES

- **Office of the Public Records Administrator:** The State of Connecticut Records Retention Schedules is maintained by the Office of Public Records Administrator.

- **State Library:** This Office is part of the Connecticut State Library.
  - [www.ctstatelibrary.org/publicrecords](http://www.ctstatelibrary.org/publicrecords)

- **Schedule M6:** The Schedule applicable to Electors & Election Records is Schedule M6.
  - M6 describes in detail what records and documents are to be retained, for how long and gives instruction regarding time and method of destruction.

- **Federal Office:** For any election at which a federal office appears on the ballot, municipalities remain obligated to retain all election materials, including electronic data, for 22 months following the election.
Office of the Public Records Administrator

Pursuant to the Connecticut General Statutes § 11-8(a), the Office of the Public Records Administrator (OPRA) is responsible for the design and implementation of a records management program for all state agencies within the executive department as well as for certain quasi-public agencies, and the towns, cities, boroughs, districts, and other political subdivisions of the state.

This includes:

- overseeing the life cycle of public records in both paper and electronic forms including creation, use, maintenance and disposition;
- publishing records retention schedules;
- keeping state and local government agencies informed about current records management issues and requirements through publication of manuals, policies, and guidelines;
- developing standards for records creation in paper and electronic formats;
- overseeing the disposition of all public records;
- identifying and preserving records essential for the continuity of government operations during or immediately following a disaster or emergency situation;
- publishing regulations regarding the construction of town record storage vaults; the creation of permanent institutional and historical archives, and the funding of required professional records management training programs.
STATE OF CONNECTICUT RECORDS RETENTION SCHEDULE
M6: ELECTORS AND ELECTIONS RECORDS
(Revised: 09/2011)

1. **SCOPE:** This schedule lists records common to the electoral process. It applies to the towns, cities, boroughs, districts, and other political subdivisions of the State. For records relating to general administrative, fiscal, or personnel matters, please refer to schedules, *M1: General Administrative Records, M2: Personnel/Labor Relations Records*, or *M3: Fiscal Records*.

2. **AUTHORITY:** The Office of the Public Records Administrator issues this records retention schedule under the authority granted by §11-8 and §11-8a of the *General Statutes of Connecticut*.

3. **SUPERSEEDENCE:** This schedule supersedes *Municipal Records Retention Schedule M6: Electors and Election Records (08/2007)*.

4. **DEFINITIONS:**

   - **PUBLIC RECORD:** "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, Photostatted, photographed or recorded by any other method." [Source: CGS §1-200(5).]

   - **OFFICIAL RECORD COPY:** "Original or official copy of a record that is retained for legal, operational, or historical purposes." Retention requirements only apply to the official record copy. Note: In accordance with CGS §11-8a(c), administrative and fiscal values are included within “operational” purposes. [Source: *Glossary of Records and Information Management Terms, 3rd Edition*, ARMA International.]

   - **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: *Glossary*, 3rd ed.]

   - **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.).” Records on this schedule are arranged by records series. [Source: *Glossary*, 3rd ed.]


5. **RETENTION PERIODS:** Retention periods listed on this schedule are based on the records’ administrative, fiscal, legal, and historical values, as well as statutory or regulatory requirements. In most instances the established period sets the minimum retention requirement. However, some records have maximum retention periods set by Federal or State statutes or regulations and **must** be destroyed at the end of the retention period. Please note that any statute or regulation listed in brackets in the “Retention” column indicates the legal citation for that retention requirement.

Records of historical value should be preserved for the benefit of historians and other researchers. “Historical” denotes that the municipality may request that a records series be transferred to a local, regional, or State repository approved by the Office of the Public Records Administrator.

There is no statutory distinction between *primaries or other types of elections* for retention purposes unless specifically noted in the retention period listed in a records series.
6. **FORMAT:** Retention periods listed on this schedule apply to the official record copy, whether in paper, electronic, or other format. The records custodian must be able to retrieve and interpret the data for the retention period.

7. **DISPOSITION:** The disposal of election records falls under the provisions of CGS §7-109. The election calendar issued by the Office of the Secretary of the State is not a records disposal authorization. This schedule is used concurrently with the Records Disposition Authorization (Form RC-075), which is used to request permission to destroy or transfer records that have met their retention period. The custodian of record, the head of municipality, the superintendent of schools (for education records), the State Archivist, and the Public Records Administrator must sign the authorization form **prior** to the destruction or transfer of public records. The Office of the Public Records Administrator cannot grant continuing approval to destroy records on an ongoing basis.

The only exception to these disposition requirements applies to unused or mutilated ballots outlined in CGS §9-303 and absentee ballots, envelopes, and related materials outlined in CGS §9-15b(1). Records maintained under the provisions of CGS §9-303 and CGS §9-15b(1) shall be destroyed after the applicable retention period without prior permission from the Office of the Public Records Administrator if no contest is pending and no subpoena has been issued by the State Elections Enforcement Commission. Therefore, records custodians are not required to submit a Form RC-075 for those items which are designated as “Destroy” under the “Disposition” column. The town clerk or registrar should create a record of the date and method of disposal and retain it with the approved Form RC-075 for other records.

Pursuant to CGS §7-109, “No original document dated prior to the year 1900 shall be destroyed under the provisions of this section without the express written approval of the Public Records Administrator.” No public record may be destroyed if there are pending or active Freedom of Information Act (FOIA) requests; litigations; investigations; audits; or other cases, claims, or actions. It is important to note that if there is a destruction hold placed on records, the retention period does not change and that once the hold is lifted, the records may be destroyed after receipt of the signed Form RC-075.

**DISPOSITION DUE TO REFORMATTING:** Custodians may request permission to dispose of original records that have been imaged provided the retention period is 10 years or less and the municipality has submitted a Certificate of Compliance in accordance with the State Library’s Standards for the Use of Imaging Technology for Storage, Retrieval, and Disposition of Public Records. With certain exceptions, custodians may request permission to dispose of original records that have been microfilmed provided the municipality has submitted a Certificate of Compliance in accordance with the State Library’s Required Minimum Microfilming Standards for Public Records.

8. **OBSCURE RECORDS:** Records designated as “OBSCURE” or “SERIES CLOSED” are no longer created or received in the normal course of business. Records custodians should request approval for the appropriate disposition of any records so designated as soon as the retention period has passed.

9. **AUDIT REQUIREMENTS:** Under the Single Audit Act (31 USC 7501) audit requirements apply to Federal, State, and Local programs. The Municipal Auditing Act (CGS §7-391 et seq.) also applies. The retention requirement, “____ 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 or the general town or municipal audit conducted by an outside auditing agency, unless otherwise noted. The specific record itself may or may not have been examined as part of the audit process. The requirement of “until audited” is fulfilled when the official audit report is issued. The auditors may recommend that certain records be corrected. Such records, even when they meet retention requirements, must be retained during the period that any review is pending.

10. **FOIA DISCLOSURE:** This retention schedule governs the retention of public records — not the disclosure of public records. Refer to CGS §1-200 et seq. or contact the Office of Governmental Accountability, Freedom of Information Commission (FOIC), regarding the disclosure of public records.
<table>
<thead>
<tr>
<th>Series #</th>
<th>Records Series Title</th>
<th>Description</th>
<th>Retention</th>
<th>Disposition</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>M6-110</td>
<td>Monthly Change Detail Reports</td>
<td>[OBSOLETE] Consists of, but not limited to name; former name; address; former address; voting district and party affiliation, if any, for all persons added, restored, removed or erased from the active and inactive registry lists during the preceding month; all electors who changed their names or addresses during that period; and all electors sent notices required under the National Voter Registration Act of 1993 (NVRA).</td>
<td>2 years</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>CGS §9-50a; Public Act 11-173 removed the requirement to maintain these reports.</td>
</tr>
<tr>
<td>M6-120</td>
<td>Motor Vehicle Monthly Change of Address List</td>
<td>List of individuals who checked off the voter registration section on driver’s license or motor vehicle registration.</td>
<td>2 years [42 USC 20 §1973gg-6][] (National Voter Registration Act of 1993)</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>CGS §9-35(c).</td>
</tr>
<tr>
<td>(M6-470)</td>
<td>Petition for Call to Amend Town Party Rules</td>
<td>Petition for caucus or convention to amend existing party rules.</td>
<td>3 years</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>CGS §9-375. See M6-500 for Town Party Records including rules.</td>
</tr>
<tr>
<td>M6-130</td>
<td>Polling Place Officials, List of</td>
<td>List of workers, certified and signed by the registrar, for both general and primary elections. Includes oaths.</td>
<td>14 days after election, if not contested</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>CGS §9-258 and §9-436. If attached to moderator’s return, retain for same period as the return.</td>
</tr>
<tr>
<td>M6-140</td>
<td>Registry List – Final and Supplementary – Registrar’s Copy</td>
<td>List of registered voters.</td>
<td>2 years [CGS §9-39]</td>
<td>Destroy after receipt of signed Form RC-075</td>
<td>See M6-490 for Town Clerk’s requirements.</td>
</tr>
<tr>
<td>M6-150</td>
<td>Registry List – Preliminary – Registrar’s Copy</td>
<td>[OBSOLETE] List of registered voters.</td>
<td>Until printing of new preliminary list (retain 2 copies of current list)</td>
<td>Destroy</td>
<td>CGS §9-37. Public Act 11-173 removed the requirement to maintain this list. See M6-500 for Town Clerk’s requirements.</td>
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</tbody>
</table>
The disposal of election records falls under the provisions of C.G.S. § 7-109.

Section 7-109 expressly provides that: “Any official . . . of a municipality may, with the approval of the chief administrative officer of such municipality and of the Public Records Administrator, destroy any document in his or its custody relating to any matter which has been disposed of and of which no record is required by law to be kept, after such document has been held for the period of time specified in a retention schedule adopted by the Public Records Administrator.”

General Rule – Pre-approval to destroy is required: you must obtain approval to destroy certain election records using a special form (RC-075).

The town clerk or registrar should create a record of the date and method of disposal and retain it with the approved Form RC-075.
The only exception to these disposition requirements applies to unused or mutilated ballots outlined in C.G.S. § 9-303 and absentee ballots, envelopes, and related materials outlined in C.G.S. § 9-150b(j).

Records maintained under those provisions shall be destroyed after the applicable retention period without prior permission from the Office of the Public Records Administrator if no contest is pending and no subpoena has been issued by the State Elections Enforcement Commission.

Therefore, records custodians are not required to submit a Form RC-075 for those items which are designated as “Destroy” under the “Disposition” column.
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RECORDS DISPOSITION AUTHORIZATION
Connecticut Towns, Municipalities, and Boards of Education
Form RC-075 (Revised 01/2010)

INSTRUCTIONS:
1. Use this form to obtain approval for disposition (destruction or transfer) of public records pursuant to CGS §7-109.
2. If this form is used for educational records, please ensure that the Superintendent of Schools reviews and signs the form.
3. If necessary, use additional forms. Each form must be signed. Please fill out the form completely and legibly and submit to the above-listed address at least 28 days prior to the proposed date of disposition.
4. Volume of Records: Letter-size drawer = 1.54 cubic ft. / Legal-size drawer = 2.0 cubic ft. / Record carton (standard banker’s box) = 1.0 cubic ft
5. After receiving approval, the original signed form must be retained in the Office of the Town Clerk. The originator of this form (custodian of the record) may keep a duplicate copy. Records that cannot be destroyed have been so noted.

<table>
<thead>
<tr>
<th>LOCAL GOVERNMENT ENTITY:</th>
<th>DATE:</th>
</tr>
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<tbody>
<tr>
<td>CUSTODIAN OF RECORDS:</td>
<td>PHONE:</td>
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</table>

ADDRESS (form will be returned to this address):

I hereby certify that the records listed below have met the retention requirements established by the Office of the Public Records Administrator in the form of approved records retention schedules. No records listed, in our opinion, pertain to any pending case, claim, or action.

<table>
<thead>
<tr>
<th>GOVERNMENT AUTHORIZATION</th>
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<tbody>
<tr>
<td>CUSTODIAN OF RECORD (type or print):</td>
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<tr>
<td>HEAD OF MUNICIPALITY (type or print):</td>
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<tr>
<th>EDUCATION AUTHORIZATION</th>
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<tbody>
<tr>
<td>SUPERINTENDENT OF SCHOOLS (type or print):</td>
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<thead>
<tr>
<th>SCHEDULE &amp; SERIES # (type, # of)</th>
<th>RECORDS SERIES TITLE</th>
<th>INCLUSIVE DATES OF RECORDS</th>
<th>VOLUME OF RECORDS (indicate cubic ft.)</th>
<th>PROPOSED DATE OF DISPOSITION</th>
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<th>PUBLIC RECORDS AUTHORIZATION</th>
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<td>APPROVED (Public Records Administrator):</td>
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<tr>
<th>PUBLIC RECORDS NOTES:</th>
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<tr>
<th>PUBLIC RECORDS NOTED</th>
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</table>

STATE OF CONNECTICUT
Connecticut State Library
Office of the Public Records Administrator
231 Capitol Avenue, Hartford, CT 06106
http://ctstatelibrary.org/publicrecords/
DESTRUCTION HOLDS

No public record may be destroyed if there are pending or active Freedom of Information Act (FOIA) requests; litigations; investigations; audits; SEEC subpoenas or other cases, claims, or actions.

- It is important to note that if there is a destruction hold placed on records, the retention period does not change and that once the hold is lifted, the records may be destroyed after receipt of the signed Form RC-075 (if it’s required).
**RECORD RETENTION & DISPOSITION**

- **Storage Facility**: Each town must provide ROVs with facilities for the safe storage of official records and documents.

- **Accessibility & Joint Safe-Keeping**: Such records must be accessible to ROVs and they are jointly responsible for their safekeeping.

- **Kept in ROV Office Space**: When the ROVs are required by law to maintain, have on file, or retain any document, record, or list or other paper, the same shall be kept in their office or safe storage facility provided by the Town.

C.G.S §§ 7-27, 9-5a & 9-5b
RECORD RETENTION & DISPOSITION

For Additional Questions Regarding Records Retention & Disposal Contact:

LeAnn Power is the Public Records Administrator.

Phone Number: 860-757-6540

Fax Number: 860-757-6542
QUICK REVIEW

✓ Where do you store your paper records?
✓ Where is the best place to find the retention & disposal schedule?
✓ How long must you retain materials from federal elections?
✓ Must you obtain pre-approval before the destruction of some election records?
✓ Can there be holds on destruction of records? Examples?
✓ PERSONAL EXPERIENCES
QUESTIONS?
REGISTRARS’ OFFICE MANAGEMENT

A. Election Resources
B. Ethics – Non-partisanship & Teamwork
C. Personnel Issues
D. Public Relations, Outreach & Communications
E. Budgeting & Representing Office at Municipal Budget Meetings
F. Record Retention
G. Other Duties
OTHER DUTIES

REDISSTRING RESPONSIBILITIES

- State law requires that *congressional* and *state legislative district boundaries* be redrawn every 10 years following completion of the US Census.
- The districts must be based on the federal census, must have nearly equal populations and must not discriminate on the basis of race or ethnicity.
OTHER DUTIES

REDISTRICTING RESPONSIBILITIES

- The State legislature is primarily responsible for drawing both Congressional and state legislative district lines.
- Goal: One person, one vote.
OTHER DUTIES

REDISTRICTING RESPONSIBILITIES

- In addition, the legislative body of any municipality may divide and re-divide such municipality into voting districts. C.G.S. § 9-169.
- A voting district is a geographic area that is drawn to make election administration more efficient. You may only vote in the voting district in which you live.
- Redistricting information is maintained by the ROVs in CVRS.
OTHER DUTIES

REDISTRICTING RESPONSIBILITIES

- ROVs adjust this information in CVRS to reflect any changes in any residence’s polling place, assembly or state senate district, or Congressional district.
  - Several parts of CVRS have to be updated/checked street by street, and number by number to reflect any changes.
- ROVs generate local maps depicting lines of voting districts.
- ROVs also issue public relations/press campaigns explaining changes to voters and parties.
- ROVs notify voters of changes after each redistricting.
OTHER DUTIES

POLLING PLACE SELECTION

- If the legislative body has divided its municipality into voting districts, the ROVs must provide a suitable polling place for each such district.
- If the ROVs fail to agree on the polling places, the legislative body makes the determination.

C.G.S. § 9-169
OTHER DUTIES

POLLING PLACE SELECTION

- In towns that are not divided into voting districts, the legislative body determines the place for holding elections. C.G.S. § 9-168
OTHER DUTIES

POLLING PLACE SELECTION

- **Deadline**: A polling place must be designated at least 31 days before the election.

- **Alternate Locations**: Alternate polling places must be secured in the event that a polling place becomes unavailable within the 31 days prior to the election, primary, or referendum.

  C.G.S. § 9-169
OTHER DUTIES

POLLING PLACE SELECTION

- **Unavailability**: In the event that a polling location becomes unavailable during the 31 days prior to the election (e.g., inaccessible, no handicap access, renovation), the ROVs must establish an alternative location and give adequate notice of the change to voters and election officials.

C.G.S. § 9-169, CT Regulations §§ 9-174a-5, 9-174a-16
OTHER DUTIES

POLLING PLACE SELECTION - ACCESSIBILITY

- ROVs can only select polling places that can be made accessible to and usable by physically disabled persons.
  - Entrances and exits must be at least 31 inches wide;
  - Temporary ramps must be available or curb cut;
  - Stairs used to enter the building have a rail or ramp; and
  - No barriers in the polling place shall impede the voters path to the voting booth.

- ROVs must file a certification with the SOTS that the polling place complies with these requirements.

**Exception – they can seek a waiver from SOTS if they cannot find a site that meets these standards.

C.G.S. § 9-168d
OTHER DUTIES

POLLING PLACE SELECTION

- State law provides additional requirements for polling place selection under varying circumstances.
- See:
  - C.G.S. § 9-168a: Polling places for voting districts whose lines differ from the district lines as constituted in a municipal election year and for voting districts with less than 1500 electors who vote for officers that no other electors of the town vote for.
  - C.G.S. § 9-168a: Two polling places in one building.
  - C.G.S. § 9-168b: Designating a polling place in an adjacent voting districts
Quick Review

✓ What are some of the ROVs responsibilities concerning redistricting?
✓ In a town divided into voting districts, who provides suitable places for each polling place?
✓ What about towns with 1 voting district?
✓ What is the deadline to designate a polling place?
✓ Must alternate polling places be secured?
✓ What if a polling place becomes unavailable the week before the election?
✓ Must polling places be accessible to all voters?
✓ Personal experiences
QUESTIONS?