

# Maine State Archives Records Center



April 2023



Introduction to the Records Center

Transferring records

Requesting records

Disposition notices

Contact information

Helpful links



# INTRODUCTION



# Our Purpose

- Protection
- Security
- Access
- Retention & destruction
- Cost-effective, worry-free services

# We are open for business...



Monday	8AM – 4PM
Tuesday	8AM – 4PM
Wednesday	8AM – 4PM
Thursday	8AM – 4PM
Friday	8AM – 4PM

\* *by appointment*



# TRANSFERRING RECORDS

# Transfer process

## Prepare

- Order and/or prepare boxes
- Add records
- Organize files and add to packing lists
- Label boxes and print packing lists

## Document

- Fill in transmittals
- Add authorization
- Submit transmittal(s) via email

## Transfer

- Schedule a pick-up or delivery
- Assign a contact for pick-up or delivery day
- Update record information system

# Prepare boxes

Purchase from WB  
Mason website  
Item PAIG801

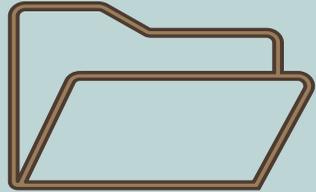
#801



# Packing boxes



**Don'ts**



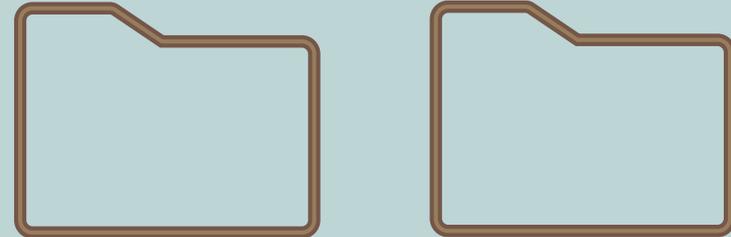
Active &  
Open



Different  
closed years



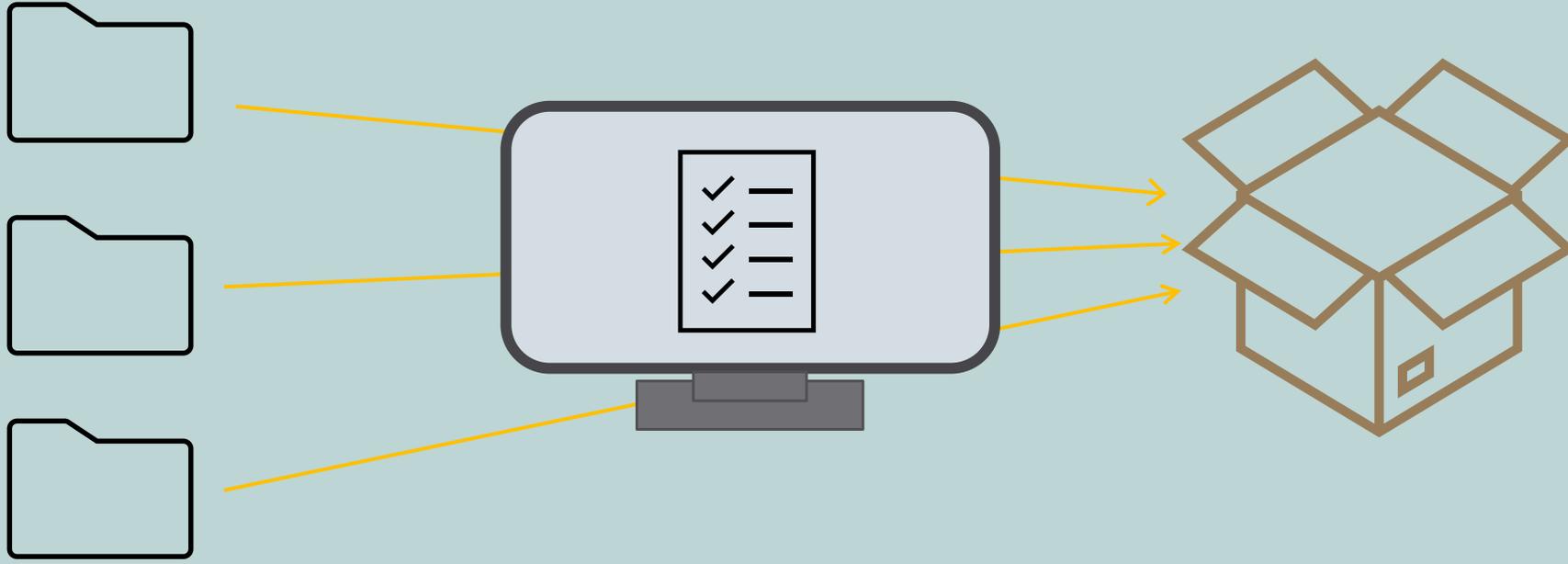
**Do's**



Closed same year



# Packing boxes (continued)





# Packing lists

## Maine State Archives Packing List Page 1 of 1

Box Number: 351				
File Number (if applicable)	File Name or Subject	Open Date	Closed Date	Folder Number
20-751	Elm	12/2020	3/2021	N/A
20-32	Birch	3/2020	4/2021	N/A
21-98	Aspen	5/2021	8/2021	N/A
20-126	Ash	7/2020	8/2021	N/A
20-422	Douglas	10/2020	9/2021	N/A
21-568	Cypress	8/2021	11/2021	N/A

# Packing lists (continued)

## Maine State Archives Packing List Page 1 of 1

Box Number: 351				
File Number (if applicable)	File Name or Subject	Open Date	Closed Date	Folder Number
20-126	Ash	7/2020	8/2021	N/A
21-98	Aspen	5/2021	8/2021	N/A
20-32	Birch	3/2020	4/2021	N/A
21-568	Cypress	8/2021	11/2021	N/A
20-422	Douglas	10/2020	9/2021	N/A
20-751	Elm	12/2020	3/2021	N/A

# Label boxes

BOX NO.	CONTENTS	DESTROY
351	Ash-ELM	
FROM 3/2020		
THRU 11/2021		

# Transmittals

DEPARTMENT OF THE SECRETARY OF STATE  
**Maine State Archives**  
STATE OF MAINE

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State Government  
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Historical Organizations

## Records Management Forms

**NEW Online [Request for Reference Service Form](#)**

Agencies with an @maine.gov email address can now use this online form to request files from the State Records Center or Archives. You will be required to login with your maine.gov email and password. **Requestors MUST have an access card number to request files and complete all required information.** The request will go directly to the Records Center email account for processing. If an alternative method is required, please contact the [State Records Center](#).

Cardholders from Legislative Offices and Independent Agencies, as well as the Courts, who do not have an @maine.gov address can use our alternative [Request Form for Legislative, Independent Agency, and Court Use Only](#).

Any questions or issues with the forms can be directed to: [Records Management](#)

---

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The Application form is used to submit a new schedule or to amend an existing schedule/series. This form should be completed and signed by your Departmental Records Officer or Agency Head. It will be retained permanently at the Maine State Archives, so we do prefer original signatures but electronic signatures are also acceptable. The Records Series Inventory works in conjunction with the Application form. Complete a Records Series Inventory Form for each series you are submitting, and include samples of records to be scheduled (photocopies are fine, as well as redacted confidential information). Several Record Series may be listed on the same Application for Records Retention Schedule. Completed form(s) with samples can be sent either by interoffice mail or emailed to [Records Management](#).

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[Transmittal of Records and Transmittal of Records Continuation Sheet](#)  
These forms are used by agencies to send records to the State Records Center or Archives. They require authorization from an agency Records Officer or RO Assistant. If emailing, please submit to : [Records Management](#) or [Archives Services](#). Requests will be filled in the order in which they are received. Please allow 2-4 weeks once transmittals are received for materials to be picked up.

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This form must be completed (as many pages as necessary) and enclosed in any box packed for transfer to the State Records Center. For archival records (those sent to the Division of Archives Services), the packing lists are required to be included with the

**Schedules and State Records Officer/Access forms:**  
[Records Management](#)  
Maine State Archives  
84 State House Station  
Augusta, ME 04333

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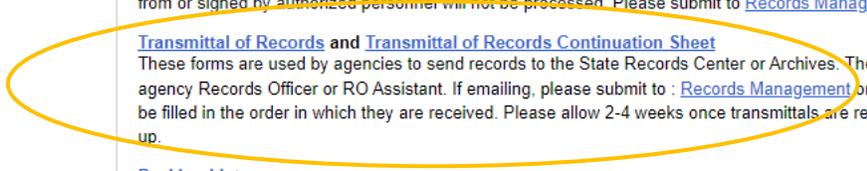
**Records Center forms/retention records:**  
[State Records Center](#)  
Maine State Archives  
284 State House Station  
Augusta, ME 04333

---

**Disposition Archival records:**  
[Maine State Archives](#)  
84 State House Station  
Augusta, ME 04333

---

[Records Management Forms Policy](#)







# Filling out transmittals (continued)

<b>TRANSMITTAL OF RECORDS</b>		Maine State Archives Use Only Page 1 of		
<b>Retention Records</b> State Records Center 284 SHS, Augusta, ME 04333-0084 Tel. (207) 287-5794 <a href="mailto:recordsmanagement.archives@maine.gov">recordsmanagement.archives@maine.gov</a> <a href="http://maine.gov">maine.gov</a>		<b>Archival Records</b> Maine State Archives 84 SHS, Augusta, ME 04333-0084 Tel. (207)287-5790 <a href="mailto:maine.archives@maine.gov">maine.archives@maine.gov</a>		
Agency No.	Transmittal No.	Box Total		
Agency Retention	RC Retention	Disposition		

Department		Bureau/Division				
Person to contact		Telephone	Location of Records (building, floor, room)			
Records Officer/RO Assistant Name		Access Card #	Email Address			
Signature of RO/RO Assistant (if emailed from a State address, typed name accepted):					Date	
Schedule #	Series #	Media	Series Title (Must match title on Records Retention Schedule)			
Location <i>(RM use only)</i>	Box Number	First Item	Last Item	FIRST DATE	LAST DATE	Final Dispo Date <i>(RM use only)</i>
	351	Ash	Elm	3/20	11/21	
	352	Fir	Juniper	9/19	12/21	
	353	Laurel	Maple	2/21	11/21	
	354	Olive	Pine	1/20	10/21	
	355	Rowan	Spruce	2/20	12/21	

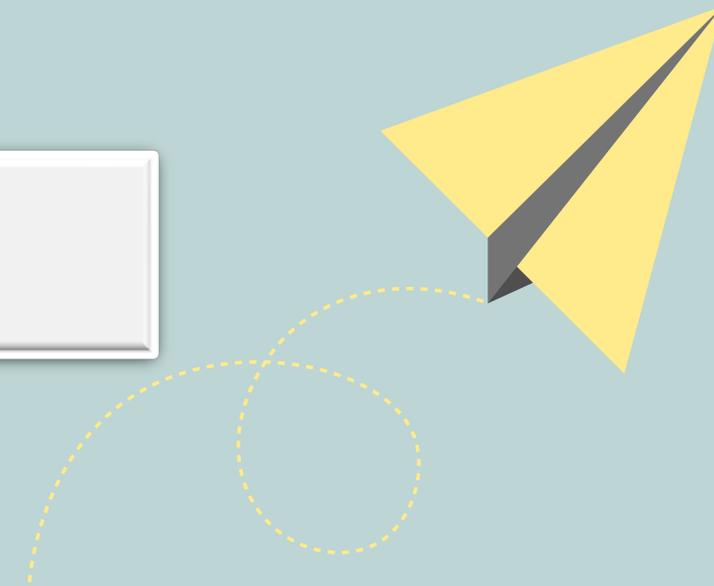
## Add Authorization



Your assigned Records Officer and Records Officer Assistants are the only authorized signatories

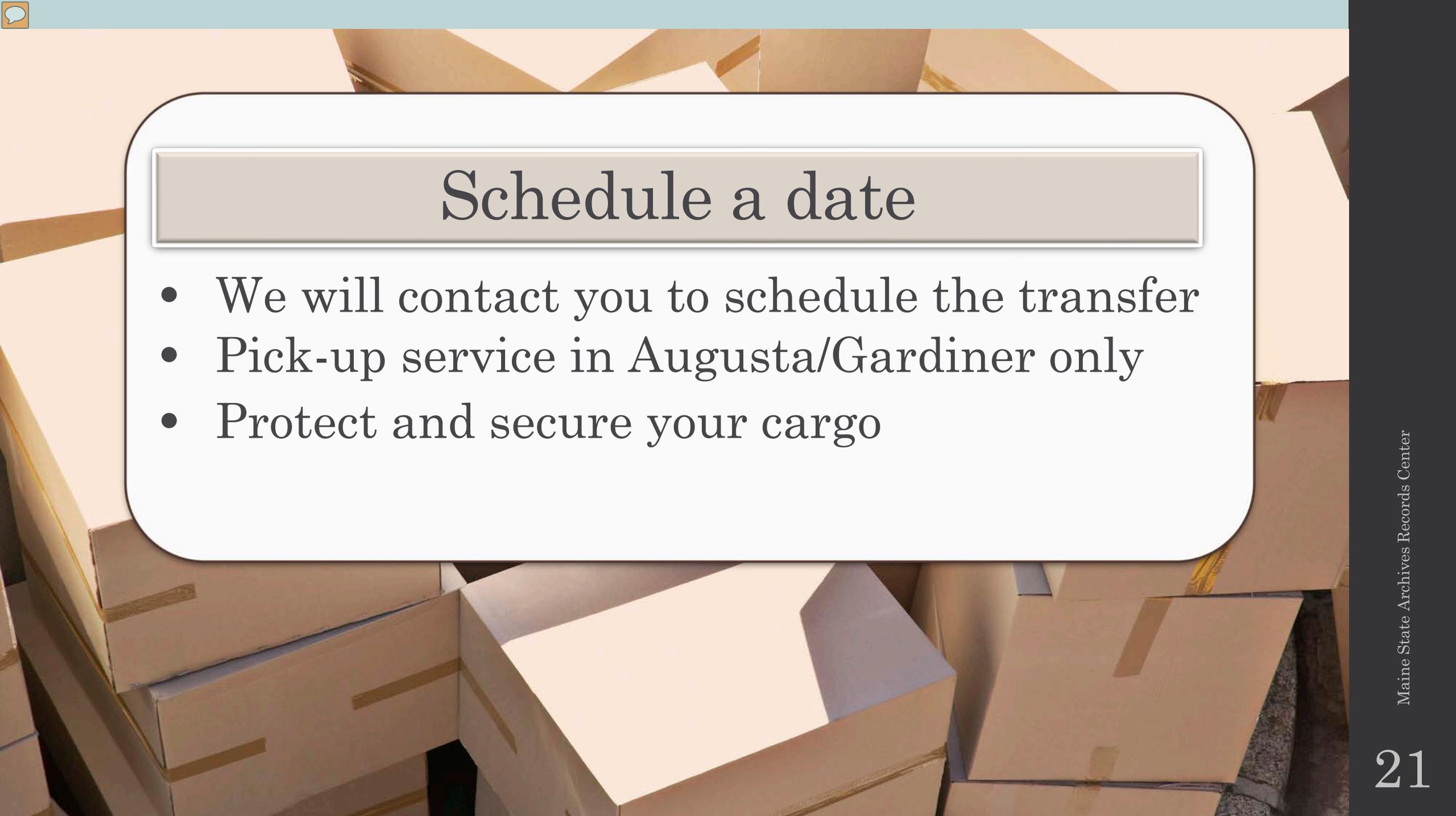


# Submit Transmittals



Email prepared transmittals to:

[RecordsManagement.Archives@Maine.gov](mailto:RecordsManagement.Archives@Maine.gov)

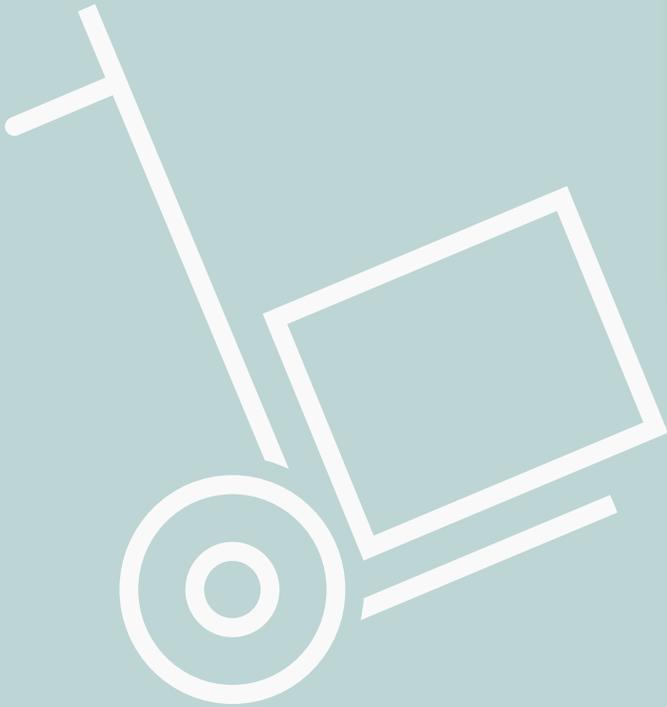


## Schedule a date

- We will contact you to schedule the transfer
- Pick-up service in Augusta/Gardiner only
- Protect and secure your cargo

# Day-of transfer

- Records Center staff will compare boxes with transmittal paperwork
- No paperwork needed
- Records Center staff will load boxes





## Updates & follow-up

Updated transmittals will be sent back to R.O./R.O.A

Please retain the:

- locations of your boxes
- transmittal numbers and
- final disposition dates

This is important for future reference requests.



# REFERENCE REQUESTS

# Reference requests

## REQUESTING RECORDS

- Where to find online form
- How to fill out requests
- Single file vs. multiples
- Requesting digital files

## RECEIVING RECORDS

- To whom we can send/release records
- Opening/sharing digital files

## RETURNING RECORDS

- Tips for packing & envelopes
- Mailing information & address

# Reference requests

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**Maine State Archives**  
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Educational Programs  
Historical Organizations

## Welcome to the Maine State Archives

The Maine State Archives, a bureau within the Department of Secretary of State, maintains approximately 8 miles of official State records considered to be permanently valuable. Our historical material includes documents such as the original state constitution, reported election results, legislative bills, and policies and research created by state agencies among much more. The Maine State Archives includes two divisions:

[Archives Services Division](#) preserves and provides access to many archival records, including those mentioned above. Researchers may request general information or specific records by contacting Archives Services in person, by phone, or email.

[Records Management Division](#) helps to establish and administer efficient and effective records management programs within State and local governments and ensure records are being retained for appropriate periods of time through Records Retention Schedules.

### Online services

[Search Our Holdings](#) - Maine State Archives Online Catalog  
([Guide to Using the Catalog](#))

[Digital Collections](#) of the Maine State Archives on the DigitalMaine Repository

[DigitalMaine Transcription Project](#)

### Featured Topics

[1918 Pandemic Influenza in Maine](#)  
([DigitalMaine Exhibit](#))

[Civilian Conservation Corps](#)

[Records Management Advice Bulletins](#)

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### What's New

State Agency [Records Management Trainings](#) being offered in April



- Hours and Contact Information
- About the Archives
- Archives Services
- Imaging Services
- Records Management
- State Government
- Local Government
- Educational Programs
- Historical Organizations

## Records Management

### Services to State Government Agencies

- [Training and Resources](#)
- [Agency Schedules](#)
- [State General Schedules](#)
- [Records Officers](#)
- [Record Management Forms](#)
- [Policy on Preservation of State Government Records](#)

### Transferring State Records (Records Center / Archives)

### Services to Local Government Agencies

- [Records Retention Schedules](#)
- [Record Storage/Alternative Repository Information](#)
- [Education and Training](#)

### Resources for State and Local Government

#### Revised Archives Rules, 12/2020

- [Ch. 1](#) State and Local Government Agency Records Programs
- [Ch. 2](#) State Records Center Facilities and Services
- [Ch. 3](#) Imaging State Records
- [Ch. 4](#) Rules for the Public Use of Materials and Facilities in the Maine State Archives

#### Guidance on COVID-19 Pandemic Records and Retention

#### Electronic Records Information

**Managing Electronic Records, Jan 2021** (pdf, 895 kb) - intended for State agencies but information might also be helpful to Local Government. This training document gives information on the following: electronic records and retention schedules; email and social media retention; scanning; electronic management systems; standards for electronic management; electronic record planning and preservation; technical aspects; and Maine State Archives programs.

[Disaster Preparedness, Response & Recovery Resources](#) - information from COSA webinars/handouts

[IPI Storage Guides](#) – Basic Strategy for Film Preservation



## Records Management Forms

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[Records Management](#)

Maine State Archives

84 State House Station

Augusta, ME 04333

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[State Records Center](#)

Maine State Archives

284 State House Station

Augusta, ME 04333

#### Disposition Archival records:

[Maine State Archives](#)

84 State House Station

Augusta, ME 04333

[Records Management Forms Policy](#)





# MSA REQUEST FOR REFERENCE SERVICE

Request form for agency files from the State Records Center or Maine State Archives

Records Center, 284 State House Station, Augusta, ME 04333-0084

Tel: 207-287-5792

Email: [recordscenter.archives@maine.gov](mailto:recordscenter.archives@maine.gov)



Hi, Isa. When you submit this form, the owner will see your name and email address.

\* Required

## Contact Information

1. Title of Agency or Court \*

Enter your answer

2. Requestor Name \*

Enter your answer

3. Access Card No. \*

The value must be a number

4. Telephone \*

Enter your answer

5. Email \*

Enter your answer

Next



## MSA REQUEST FOR REFERENCE SERVICE

\* Required

### File Type

6. I am requesting the following types of records: \*

Retention Records

Archival Records

7. Type of Record \*

Paper

Digital File

Microfilm

Microfiche

Other

[Back](#)

[Next](#)



## MSA REQUEST FOR REFERENCE SERVICE

### Delivery Information

#### 8. Type of Delivery

- Mail file.
- Hold for pickup.
- Email electronic file.

Back

Next



## MSA REQUEST FOR REFERENCE SERVICE

### Delivery Information- Mail

9. **Mail file requested.** Include mailing address to send file.

Enter your answer

---

[Back](#)

[Next](#)



## MSA REQUEST FOR REFERENCE SERVICE

\* Required

Number of File(s) being requested

10. Are you requesting more than one file \*

Yes

No

Back

Next



11. File Name \*

Enter your answer

12. File/Docket Number \*

Enter your answer

13. Box Number \*

Enter your answer

14. Location Number \*

Enter your answer

15. Container Number

Enter your answer

16. Transmittal Number \*

Enter your answer

17. Agency Comments/Special Instructions

Enter your answer



## MSA REQUEST FOR REFERENCE SERVICE

\* Required

### Requesting Multiple Files

Please download and complete the File Request

Spreadsheet : [https://www.maine.gov/sos/arc/records/state/forms\\_ReferenceRequest.xlsx](https://www.maine.gov/sos/arc/records/state/forms_ReferenceRequest.xlsx)

11. Once you have completed your request information please upload the File Request Spreadsheet (Non-anonymous question<sup>ⓘ</sup>)

↑ Upload file

File number limit: 1 Single file size limit: 10MB Allowed file types: Excel

12. How many files are you requesting \*

This should be equal to the number of rows on the spreadsheet, minus the header

The value must be a number

[Back](#)

[Submit](#)

MSA REQUEST FOR REFERENCE x | Untitled x | forms\_ReferenceRequest.xlsx x | +

https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.maine.gov%2Fsos%2Farc%2Frecords%2Fstate%2Fforms%2Frequest.xlsx&wdOrigin=BROWSELINK

We've opened your file for quick and easy viewing right in Microsoft Edge. Choose Download file if you want to use it later.

**Download file**

Excel forms\_ReferenceRequest - Saved

Search (Alt + Q)

File Home Insert Draw Page Layout Formulas Data Review View Help

Viewing Edit a copy

File Name File/Docket Number Box Number Location Number Container Number Transmittal Number Agency Comments/Special Instructions

1	File Name	File/Docket Number	Box Number	Location Number	Container Number	Transmittal Number	Agency Comments/Special Instructions	I	J	K	L	M	N	O	P	Q	R
2																	
3																	
4																	
5																	
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Sheet1

Workbook Statistics

Give Feedback to Micros

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https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.maine.gov%2Fsos%2Farc%2Frecords%2Fstate%2Fforms\_ReferenceRequest.xlsx&wdOrigin=BROWSELINK

We've opened your file for quick and easy viewing right in Microsoft Edge. Choose Download file if you want to use it later. [Download file](#)

Excel forms\_ReferenceRequest - Saved

Search (Alt + Q)

File Home Insert Draw Page Layout Formulas Data Review View Help

12 A B I Merge General \$ .00 .00 Conditional Formatting Styles Format As Table Format

Downloads

forms\_ReferenceRequest (10).xlsx  
[Open file](#)  
[See more](#)

	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	File Name	File/Docket Number	Box Number	Location Number	Container Number	Transmittal Number	Agency Comments/Special Instructions												
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Sheet1

Workbook Statistics

Give Feedback to Microsoft 100%

PROTECTED VIEW Be careful—files from the Internet can contain viruses. Unless you need to edit, it's safer to stay in Protected View. **Enable Editing**

12

	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P
1	File Name	File/Docket Number	Box Number	Location Number	Container Number	Transmittal Number	Agency Comments/Special Instructions								
2															
3															
4															
5															
6															
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## MSA REQUEST FOR REFERENCE SERVICE

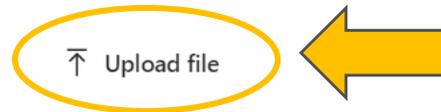
\* Required

### Requesting Multiple Files

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This should be equal to the number of rows on the spreadsheet, minus the header

The value must be a number

[Back](#)

[Submit](#)

# Returning records

- Use sturdy envelopes
- Secure with strong, adhesive tape
- Tyvek envelopes work well
- Fold envelope tightly to reduce space inside envelope
- Inter-office mail is fine
- Check internal policies





# DISPOSITION NOTIFICATIONS

# Disposition notifications



Maine State Archives  
284 SHS, Augusta, ME 04333-0084  
[recordsmanagement.archives@maine.gov](mailto:recordsmanagement.archives@maine.gov)

## Records Center Disposition Notification to Destroy Records

Media type to be destroyed:  PAPER  DIGITAL  ROLLFILM  MICROFICHE

To Records Officer:		Date:		Page:
Department Name:		Bureau/Division Name:	Dept No.	Unit/Subunit No.
Schedule No.	Series No.	Retention	Series Title	

The following records located in the Maine State Records Center will be destroyed upon return of signed disposition in accordance with authorized records retention schedules.

Transmittal No.	Box No.	Notes	Inclusive Dates		Disposition Date	Complete <input type="checkbox"/>
			From	To		

Please return a **signed copy** to [Records Management](mailto:recordsmanagement.archives@maine.gov) within **ten days**. Maine State Archives reserves the right to destroy records that have passed their retention date by 10 months. Archives involvement occurs when the generating agency refuses to respond or sign off on the destruction of the records. If you have any questions concerning this notification, please contact us at: [recordsmanagement.archives@maine.gov](mailto:recordsmanagement.archives@maine.gov)

**SIGN** →

← **DATE**

AGENCY RECORDS OFFICER AUTHORIZATION	
Signature _____	Date _____
Maine State Archives Use Only	
Records Center Disposal Signature _____	Date _____
Records Center Supervisor/Verification Signature _____	Date _____

# Disposition forms

Hours and Contact Information
About the Archives
Archives Services
Imaging Services
Records Management
State Government
Local Government
Educational Programs
Historical Organizations

## Records Management Forms

### **NEW Online [Request for Reference Service Form](#)**

Agencies with an @maine.gov email address can now use this online form to request files from the State Records Center or Archives. You will be required to login with your maine.gov email and password. **Requestors MUST have an access card number to request files and complete all required information.** The request will go directly to the Records Center email account for processing. If an alternative method is required, please contact the [State Records Center](#).

Cardholders from Legislative Offices and Independent Agencies, as well as the Courts, who do not have an @maine.gov address can use our alternative [Request Form for Legislative, Independent Agency, and Court Use Only](#).

Any questions or issues with the forms can be directed to: [Records Management](#)

**NOTE:** All forms below are in Word format. They should be filled out electronically (typed in the Word document) and returned to specified email whenever possible. See below for further instructions. For complete information please refer to other pages on our site including: [State Agency Records Officers & Assistants](#); [State Agency Training and Resources](#); and [Transferring Records - State Records Center & Archives](#).

### [Application for Records Retention Schedule and Records Series Inventory](#)

The Application form is used to submit a new schedule or to amend an existing schedule/series. This form should be completed and signed by your Departmental Records Officer or Agency Head. It will be retained permanently at the Maine State Archives, so we do prefer original signatures but electronic signatures are also acceptable. The Records Series Inventory works in conjunction with the Application form. Complete a Records Series Inventory Form for each series you are submitting, and include samples of records to be scheduled (photocopies are fine, as well as redacted confidential information). Several Record Series may be listed on the same Application for Records Retention Schedule. Completed form(s) with samples can be sent either by interoffice mail or emailed to [Records Management](#).

### [Records Officer/Cardholder Form](#)

This form is used to assign Records Officers, Records Officer Assistants and any cardholders. You must be an approved cardholder ( or RO, ROA) before you are allowed access to agency records at the State Records Center. Requests not received from or signed by authorized personnel will not be processed. Please submit to [Records Management](#).

### [Transmittal of Records and Transmittal of Records Continuation Sheet](#)

These forms are used by agencies to send records to the State Records Center or Archives. They require authorization from an agency Records Officer or RO Assistant. If emailing, please submit to : [Records Management](#) or [Archives Services](#). Requests will be filled in the order in which they are received. Please allow 2-4 weeks once transmittals are received for materials to be picked up.

### [Packing List](#)

This form must be completed (as many pages as necessary) and enclosed in any box packed for transfer to the State Records Center. For archival records (those sent to the Division of Archives Services), the packing lists are required to be included with the transmittal submission. Keep a copy for your own records, listing each file in the box. If you have questions contact [Records Management](#) or [Maine State Archives](#) as appropriate.

### [Disposition Notification](#)

When records have met their approved retention time per signed Record Retention Schedules, Records Management sends a Records Center Disposition Notification to the agency of record, to be approved and signed by the agency Records Officer. Agencies may also use this form as a guide (sample) when destroying records within the office (both paper and electronic) which need to be documented. These would only be records which have met retentions and are due for destruction according to approved retention schedules. (See [General Schedule 7.2](#) for further information.)

### Schedules and State Records Officer/Access forms:

[Records Management](#)

Maine State Archives  
84 State House Station  
Augusta, ME 04333

### Records Center forms/retention records:

[State Records Center](#)

Maine State Archives  
284 State House Station  
Augusta, ME 04333

### Disposition Archival records:

[Maine State Archives](#)

84 State House Station  
Augusta, ME 04333

[Records Management Forms Policy](#)



#### Credits



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#### Information

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[Pardons/Executive Clemency](#)  
[Site Policies](#)

#### Government links

[Maine.gov](#)  
[Maine Constitution](#)  
[State Legislature](#)  
[Maine Laws](#)  
[Maine Courts](#)  
[Ethic Commission](#)

#### Connect with Us



#### Accessibility of Information

If content on this website is not accessible and you would like to request the information in a different format, please contact (207) 628-8400.

[Language Access](#)



# CONTACT INFORMATION



RecordsCenter.Archives@Maine.gov

State Records Center  
10 Water Street  
Hallowell, Maine, 04347

SHS #284

(Same physical & mailing address)

# Records Center staff

**ISA MELVIN**  
Supervisor, Management  
Analyst I

Isa.Melvin@Maine.gov

287-5792 or 557-1652 (cell)

**EDWARD DEMOCRACY**  
Inventory and Property  
Associate II

Edward.Democracy@Maine.gov

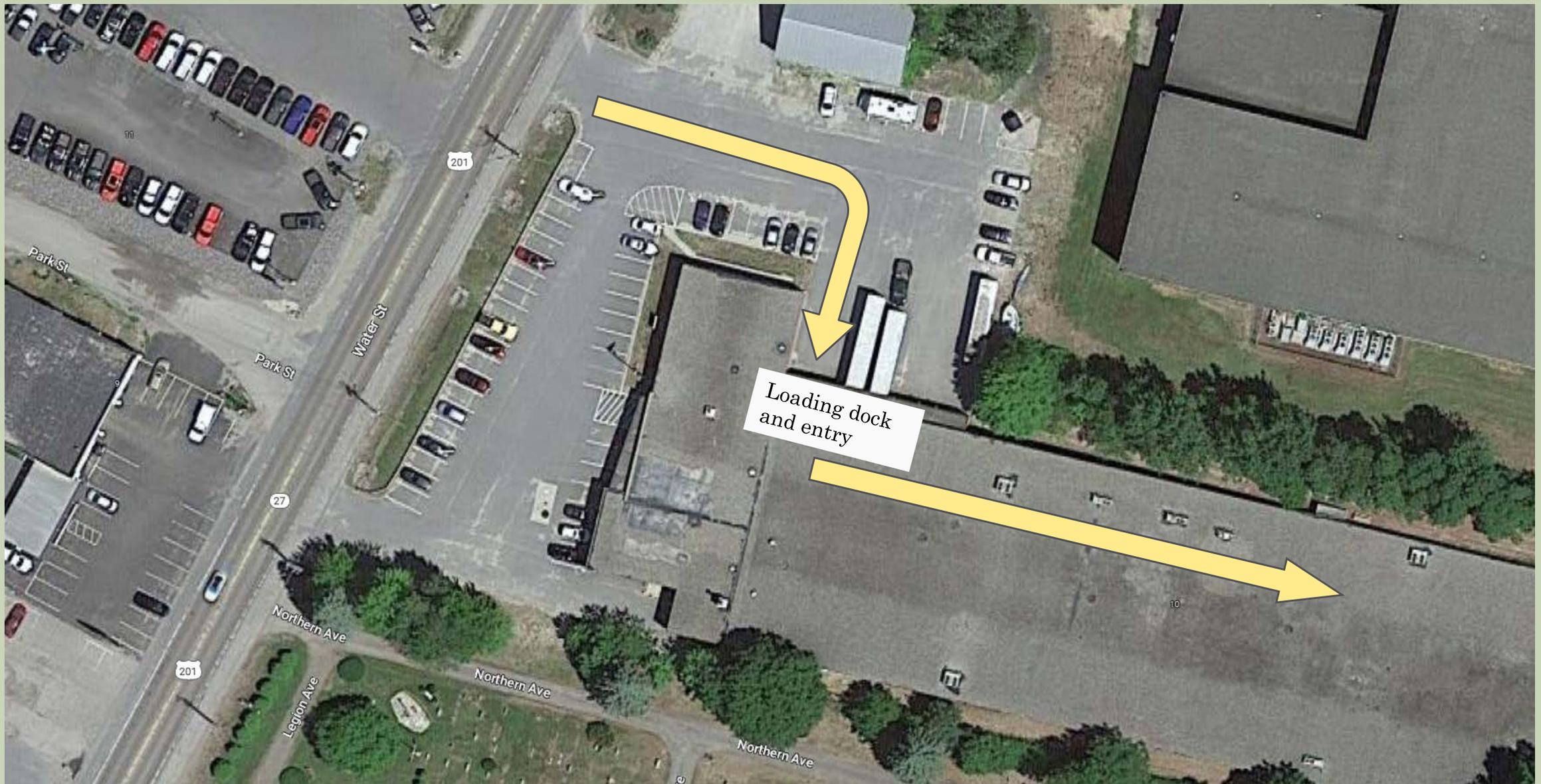
287-3628

**BRIAN LIBBY**  
Inventory and Property  
Associate II

Brian.Libby@Maine.gov

287-3627

# Records Center location



# Records Center location (continued)





## Other MSA Staff contacts

[RecordsManagement.Archives@Maine.gov](mailto:RecordsManagement.Archives@Maine.gov)

(207)287-5798 or (207)287-5794

[Maine.Archives@Maine.gov](mailto:Maine.Archives@Maine.gov)

(207)287-5790



# Helpful links

Maine State Archives Home Page

<https://www.maine.gov/sos/arc/>

State Agency Records Officers and Records Officer Assistants, by agency

<https://www.maine.gov/sos/arc/records/state/recordsofficers.html>

State Agency Training and Resources

<https://www.maine.gov/sos/arc/records/state/statetraining.html>

Records Management Roles and Responsibilities

<https://www.maine.gov/sos/arc/records/state/agencyroles.pdf>

State Agency Schedules

<https://www.maine.gov/sos/arc/records/state/agencyschedules.html>

# Helpful links (continued)

Online reference Request form for state agencies

<https://forms.office.com/g/c2rdJCZkEp>

Online reference Request form for independent agencies, legislature, & courts

<https://forms.office.com/g/cDkCxEvv5C>

Blank Packing list

[https://www.maine.gov/sos/arc/records/state/forms\\_packinglist.docx](https://www.maine.gov/sos/arc/records/state/forms_packinglist.docx)

Blank Transmittal form

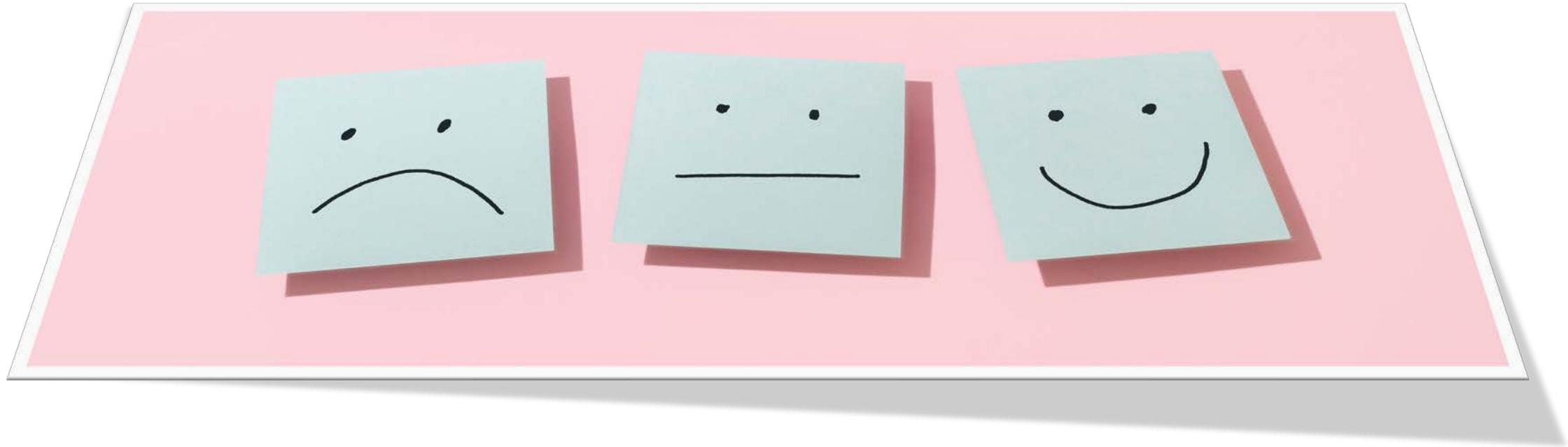
[https://www.maine.gov/sos/arc/records/state/forms\\_transmittal.doc](https://www.maine.gov/sos/arc/records/state/forms_transmittal.doc)

Blank Continuation sheet for transmittal form

[https://www.maine.gov/sos/arc/records/state/forms\\_transmittalpt2.doc](https://www.maine.gov/sos/arc/records/state/forms_transmittalpt2.doc)

Blank Disposition Notification form for in agency use

[https://www.maine.gov/sos/arc/records/state/forms\\_disposition.doc](https://www.maine.gov/sos/arc/records/state/forms_disposition.doc)



## Questions & Answers

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