# **Transferring Records**

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Records which are considered closed but still need to be retained for fiscal, legal, or administrative reasons may be kept at the State Records Center per an approved Records Retention Schedule. (Pre-archival records are now also sent and retained at the Records Center until they become due for transfer to the Maine State Archives.) All retention records stored at the Records Center belong to the agencies that created them. Depending on the retention schedule, an agency may also transfer records directly to the Maine State Archives.

**Records must be on an approved Records Schedule** before any records are sent to the State Records Center or Archives. You must know the Schedule and Series number for the records you are transferring.

Using the correct schedule and series number, along with the series title, will ensure your retention period is accurate and defines the final disposition of your agency’s material.

Be certain records have fulfilled the “in agency” retention time or that records have not already met their full retention times before preparing any records for transfer.

**Transfer for State Records Center (disposition destroy):** Make out aTransmittal of Records Form and email it to [recordsmanagement.archives@maine.gov](mailto:recordsmanagement.archives@maine.gov). We will review the transmittal and if necessary, make recommendations. The transmittal must be signed by an authorized Records Officer or RO Assistant.

**Transfer to Maine State Archives (disposition archival):** The same form/procedure as above however, emails are sent to [maine.archives@maine.gov](file:///\\arc-server2008\archives\ARCHIVES_Users\Kennedy\RECORDSMGMT\Web%20Page%20Information\maine.archives@maine.gov) and packing lists must be included. (Contact person for archival records is Sam Howes, Archivist III.)

**Requirements for Packing Boxes**

**Boxes must be packed in Archives approved 801 boxes.**

These boxes are available for purchase from the WB Mason catalog or through WB Mason online. Item number is PAIG801. WB Mason provides delivery to your agency.

For archival records we recommend ordering boxes that are designed for permanent storage from other vendors, such as Gaylord or Hollinger. For more information contact the Archivist III.

**Your boxes are to be packed** by year, then alphabetically or numerically. If possible, box sets should be packed representing one year for each transmittal. Allowances are made for specific circumstances.

**Packing for Archives:** Yourboxes should be full with no intention of adding to them. No clips, staples, rubber bands, three ring binders, hanging file folders will be accepted. If a box is packed and your material doesn’t fill the box, adding a filler to help keep the material intact is recommended, or contact the Archivist III to see about smaller box sizes available through other vendors.

**Packing for Records Center, non-permanent materials:** Same as packing for Archives but leave a little room which can allow a small file to be added. Check with Records Management before sending any add-on files. If you have a large add-on, make a new box with a new transmittal, cross referencing the original material. Records Management will also add cross referencing to the original file (box). Please update your finding aids and packing list to reflect this new information.

**The Packing List** goes in the box and your office keeps a copy to reference if the material is non-permanent. If the material is archival, packing lists are emailed with the completed transmittal and your office keeps a copy to reference. Please do not tape the packing list on top of the box or inside the top cover.

**Maine State Archives will accept only boxes that meet the criteria listed above. We may refuse pickup or delivery if these requirements are not met.** This helps us to provide the best possible service to our customer agencies. If you have questions, please email [Records Management](mailto:recordsmanagement.archives@maine.gov).

#### **Marking Boxes**

Using a black marker, write the following on each box:

* Box number
* Arrangement (this is simply the first and last file in the box)

Records Center staff will add all remaining information: the agency, number, retention date, and assigned location number.



## Completing the Transfer

## From your office to the State Records Center or Archives

We will process your transmittal and contact you to arrange a pick-up or delivery date. *(We pick up boxes only in the Augusta area.)* If delivering boxes, please arrange for a proper vehicle, such as a box truck.

After the Records Center or Archives has received your boxes, a signed copy of the Transmittal of Records form will be returned, showing the 8-digit location numbers, and assigned transmittal number for these records.

## Access to the State Records Center/Retrieving Your Records

The State Records Center is a closed facility, but agencies can submit records requests from the Records Center on any workday between 8 a.m. and 4 p.m. The Records Center provides its customer agencies with centralized, economical storage for their inactive and pre-archival government records. Please use the [*Online Request for Reference Service Form*](https://forms.office.com/pages/responsepage.aspx?id=q6g_QX0gYkubzeoajy-GTobC8sm1QM1FmABTJbqCudFUQVdQVFVCS1ExWEhCQkRIQUwwRzBYTUFJSy4u)to order records.

## Only those persons who have been issued a *Records Center Use Card (or Access Card)* may order agency records*.*

Records Officers should use the Application for Records Center Use Cards to request access cards for employees who are authorized to retrieve agency records. Records Officers are responsible for notifying us of all changes in access authorizations (canceled cards, etc.). This form may also be used to make any access card inactive.

We do not issue photo IDs. Please have both your access card number and your driver’s license, security badge, or other photo ID ready if you will be picking up records for your agency. We need to be certain records are released only to authorized personnel.

Access cards are not transferable. We will not accept requests from someone using an access card number which is not assigned to them. It is the responsibility of the agency, not Records Management, to assign cardholders. For security purposes, we will not release materials without following proper protocols.

**Online** [**Request for Reference Service Form**](https://forms.office.com/g/c2rdJCZkEp) - 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 [Records Center](mailto:RecordsCenter.Archives@Maine.gov).

Cardholders from Legislative Offices and Independent Agencies who do not have an @maine.gov address can use our alternative [Request Form for Legislative and Independent Agency Use Only](https://forms.office.com/g/cDkCxEVV5C)

Once all correct referencing information is received, requests are typically fulfilled within 24 hours – excluding days when State offices are closed**.** If preferred, an agency cardholder may pick up the records. You must schedule a pick-up time with Records Center staff.

**NOTES:**

* Archival records (once they have fulfilled retention requirements) may not leave the building and must be viewed at the Maine State Archives.
* If an agency requests to have any (temporary) records returned which have exceeded approved retention periods, the agency accepts the responsibility of non-compliance and any potential liabilities associated with keeping records beyond established retention periods agreed to by the agency and the Maine State Archives.

# **The Legal Destruction of Records**

### When Records Management Destroys Records

We destroy records stored in the Records Center only after:

Records Management sends a *Records Center Disposition Notification* to the agency of record; to be approved and signed by the agency Records Officer.

This is the Records Officer’s opportunity to ensure records are not needed for an uncompleted audit, anticipated litigation, or other need that the retention schedule did not anticipate. If an agency does decide records must be retained longer, schedules must be amended, and justifications must be provided.

State records may not be destroyed if any active or pending litigation, audit, open records request, or appeal of an open records decision. This applies until the completion of the action and the resolution of all issues that arise from the action, or until the expiration of the retention period, whichever is later.

Maine State Archives reserves the right to return records which have passed their expired retention date by two years. This occurs when any agency refuses to sign off on disposition notifications and makes no attempt at communicating with Records Center staff and/or revising their retention schedules.

Maine State Archives reserves the right to destroy records which have passed their expired retention date by two years for those agencies which become defunct; there are no longer any contact people, and no processing information has been forwarded to Records Center staff.

### When Your Agency Destroys Records

* Agencies may destroy records according to approved retention schedules.
* State records should be destroyed in a confidential manner (preferably by shredding), even if those records are not confidential.
* Do NOT store records waiting for pickup in an area accessible to the public, such as a loading dock, hallway, or conference room.

**Records Management Forms**

All Records Management forms are located on our website. They can be found on one or both of the following sites: [Records Management Forms](https://www.maine.gov/sos/arc/records/state/recordsforms.html) or [Transferring Records – State Records Center and Archives](https://www.maine.gov/sos/arc/records/recordsctr/index.html).