



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



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



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



- 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





0

Packing boxes



Don'ts





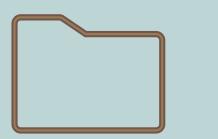


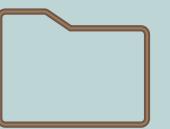
Active & Open

Different closed years



Do's

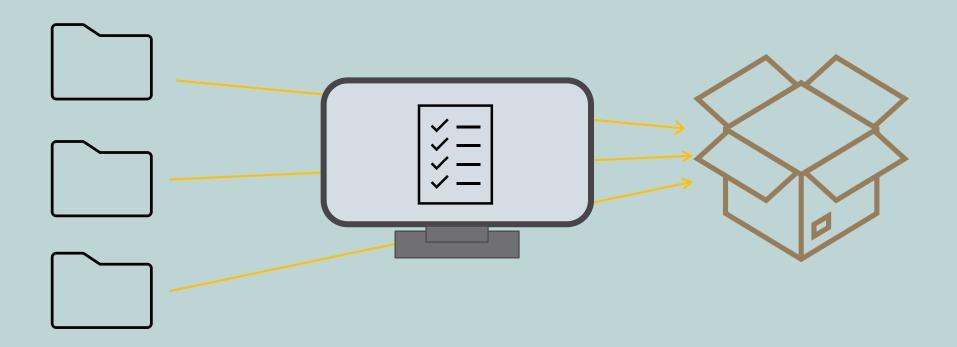




Closed same year



Packing boxes (continued)



- 1.) Box Number: See transmittal instructions for box numbering information.
- 2. File Number: Case number, docket number, LD number, or any other internal number used to identify the file.
- 3. Name of the file, when relevant, otherwise use the subject (such as the person, company, or topic) to which the file refers.
- 4.) Date the file was first opened/created.
- 5. Date at which the file became inactive (this is important for determining retention).
- 6. Folder Number: This column only needs to be filled in for archival records. The number of the folder in the box (the first number for each box should always be 1).
- 7. When the box is full and contents have been entered, add your page number(s) to the top.

	Box Number: 1	<i>)</i>		
File Number (if applicable)	File Name or Subject	Open Date	Closed Date	Folder Number
(2)	(3)			
	3		-(5)	C
		$\overline{(4)}$		-(6)
		4		

Maine State Archives Packing List Page 1 of 7



Packing lists

Maine State Archives Packing List Page 1 of 1

	Воз	x 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

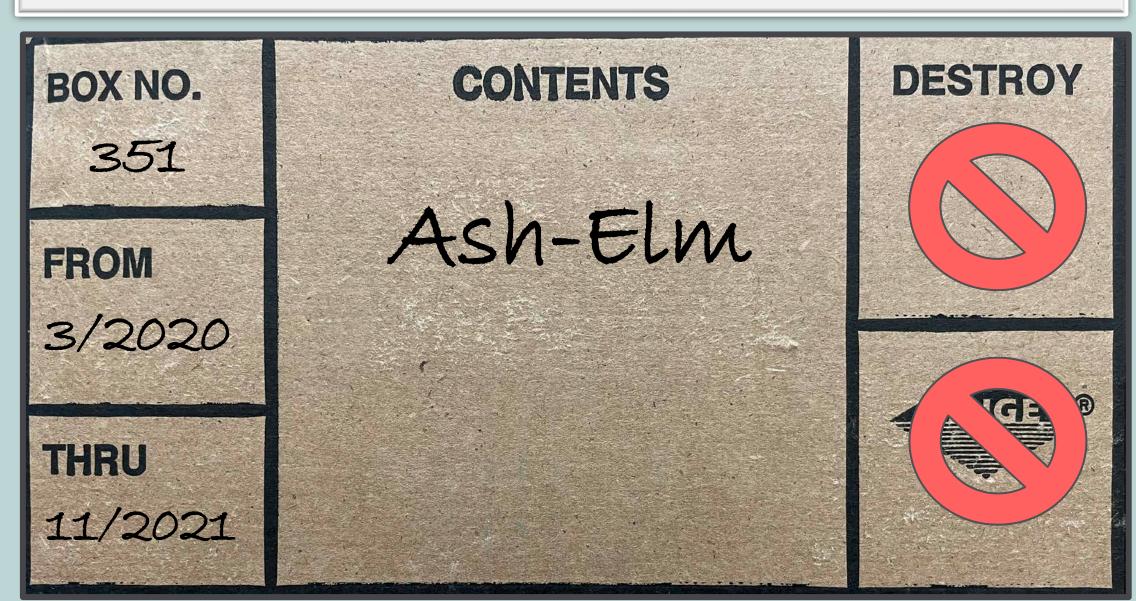


Packing lists (continued)

Maine State Archives Packing List Page 1 of 1

	Воз	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





Transmittals



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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.

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Transmittal of Records and Transmittal of Records Continuation Sheet

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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

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

- Contact information
- Schedule, series, media, and series title
- Box numbers
- File name range
- First & last dates

TRANSMITTAL OF RECORDS

Retention Records

State Records Center 284 SHS, Augusta, ME 04333-0084 Tel. (207) 287-5794

recordsmanagement.archives@ maine.gov

Archival Records Maine State Archives

84 SHS, Augusta, ME 04333-0084 Tel. (207)287-5790 maine.archives@maine.gov

Maine State A	Archives Use Only	
Agency No.	Transmittal No.	Box Total
Agency Retention	RC Refertion	Disposition

Department				Bureau/Division					
Person to co	ntact			Telephone	Location of Records (building, floor, room)				
	Records Officer/RO Assistant Name			Access Card#	ss Card # Email Address				
		stant <i>(if en</i>		State address, typed		Date			
Schedule #	Series #	Media	5	Series Title (Must n	natch title on Records Re	tention S	chedule	:)	
Local (RM use		Box Number	F	irst Item	Last Item		FIRST DATE	LAST DATE	Final Dispo Date (RM use only)
	V	351	Ash		Elm		3/20	11/21	\mathbf{V}
	1	352	Fir		Juniper		2/19	12/21	
		353	Laurel		Maple		2/20	11/21	
		354	Olive		Pine		1/19	10/21	
		355	Rowan		Spruce		2/18	12/21	
									,
Received by	(Maine St	ate Archiv	/es):	X				ate	X
								MSA/RN	I 33/Rev. 10/2021

Filling out transmittals (continued)

TRANSMITTAL OF RECORDS Continuation Sheet		Maine State Ar Page 2	chives Use Only of
Retention Records State Records Center 284 SHS, Augusta, ME 04333-0084 Tel. (207) 287-5794 recordsmanagement.archives@maine.gov	Archival Records Maine State Archives 84 SHS, Augusta, ME 04333- 0084 Tel. (207)287-5790 maine.archives@maine.gov	Schedule/Series	Transmittal No. Continued

Location (RM use only)	Box Number	First Item	Last Item	FIRST DATE	LAST DATE	Final Dispo. Date (RM use only)
\ \	16					\ \
X	17					X
	18					
Records Officer/RO) O Assistan	t Name Access Card #	Signature of RO/RO Assistant			Date
Received by (Main	ne State A	rchives): X	Date X			
			11	M	SA/RM	33a/Rev.8/2021

Filling out transmittals (continued)

TRANSMITTAL OF RECORDS

Retention Records
State Records Center
284 SHS, Augusta, ME
04333-0084
Tel. (207) 287-5794
recordsmanagement.archives@

maine.gov

84 SHS, Augusta, ME 04333-0084 Tel. (207)287-5790 maine.archives@maine.gov

Archival Records

Maine State Archives

Maine State Archives Use Only Page 1 of					
Agency No.	Transmittal No.	Box Total			
Agency Retention	RC Retention	Disposition			

Department			Bureau/Division						
Person to co	Person to contact			Telephone	Location of Records (building, floor, room)				
Records Office	Records Officer/RO Assistant Name			Access Card#	Email Address				
Signature of RO/RO Assistant (if emailed from a Si		tate address, typed	d name accepted):	Date					
Schedule #	Series #	Media	S	eries Title (Must n	natch title on Records Ret	ention Sc	hedule	:)	
Local (RM use		Box Number	Fi	rst Item	Last Item		FIRST DATE	LAST DATE	Final Dispo Date (RM use only)
		351	Ash		Elm		3/20	11/21	
		352	Fir		Juniper		9/19	12/21	
		353	Lau	rel	Maple		2/21	11/21	
		354	Oliv	e	Pine		1/20	10/21	
		355	Row	an	Spruce		2/20	12/21	

Add Authorization



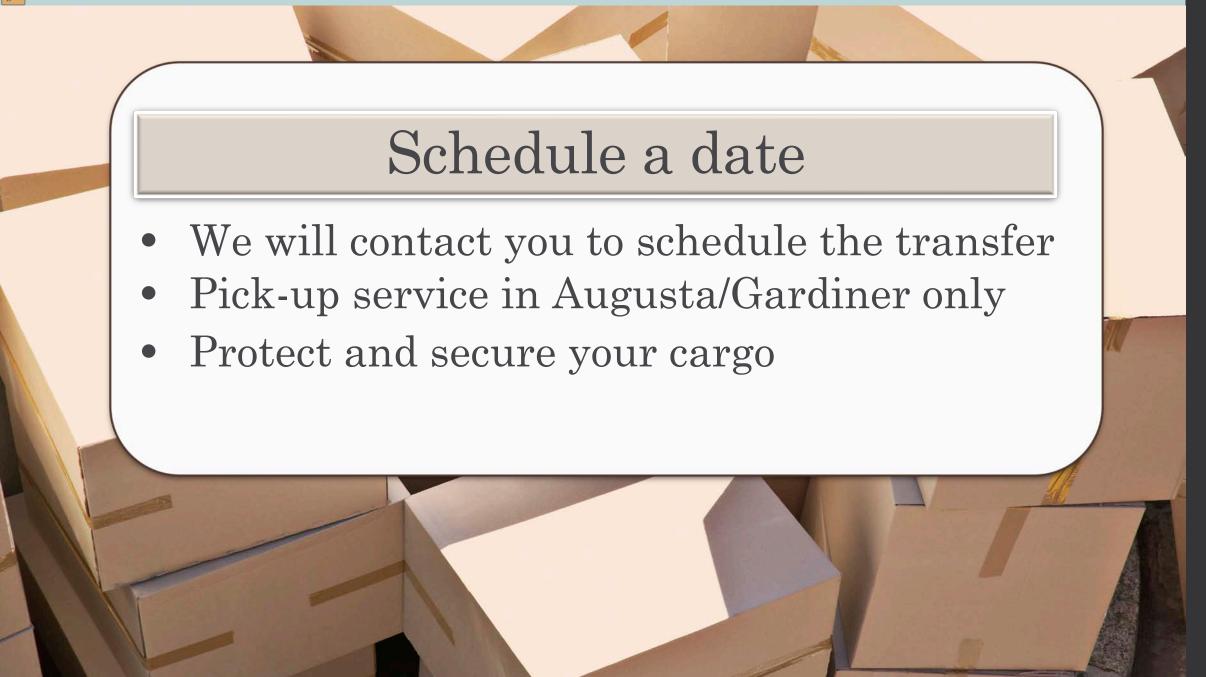
Your <u>assigned</u> Records Officer and Records Officer Assistants are the only authorized signatories



Email prepared transmittals to:

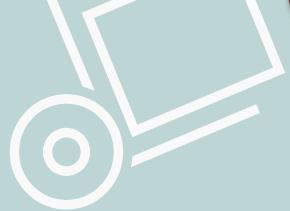
RecordsManagement.Archives@Maine.gov







- 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

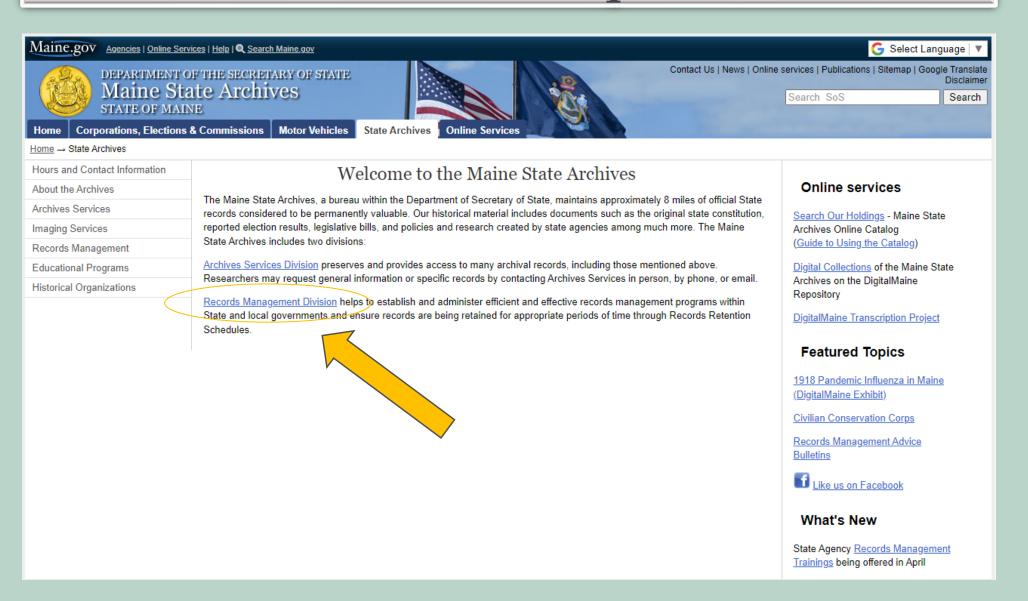
- To whom we can send/release records
- Opening/sharing digital files

RETURNING RECORDS

- Tips for packing & envelopes
- Mailing information & address



Reference requests





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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
- <u>Ch. 4</u> 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.

<u>Disaster Preparedness, Response & Recovery Resources</u> - information from COSA webinars/handouts

IPI Storage Guides - Basic Strategy for Film Preservation



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84 State House Station

Augusta, ME 04333

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Augusta, ME 04333

Disposition Archival records:

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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

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

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

6.1 am requesting the following types of records: *

Retention Records

Archival Records

7. Type of Record *

Paper

Oigital File

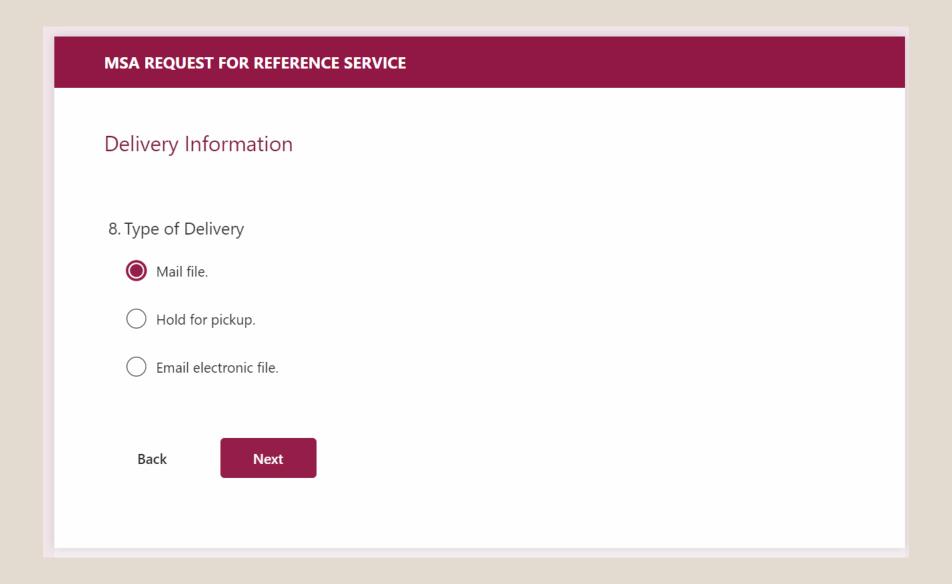
Microfilm

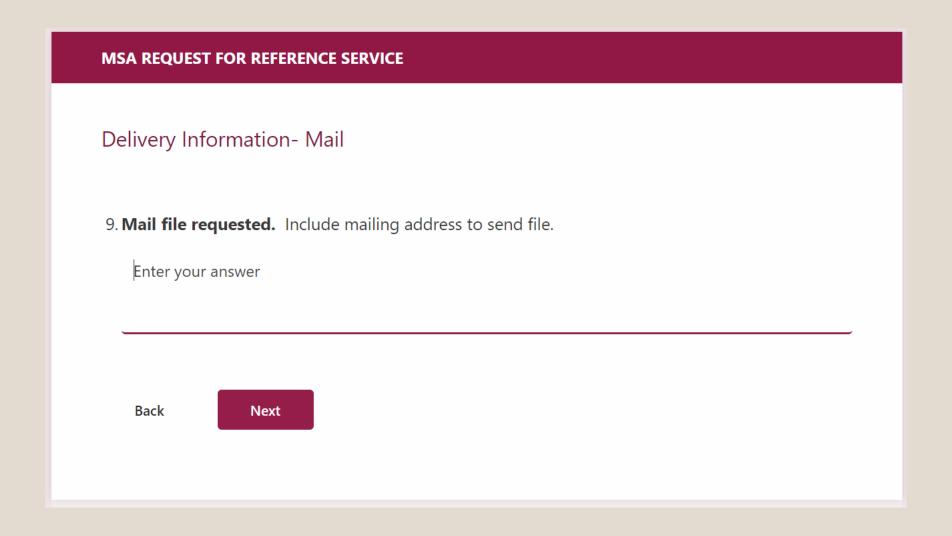
Microfiche

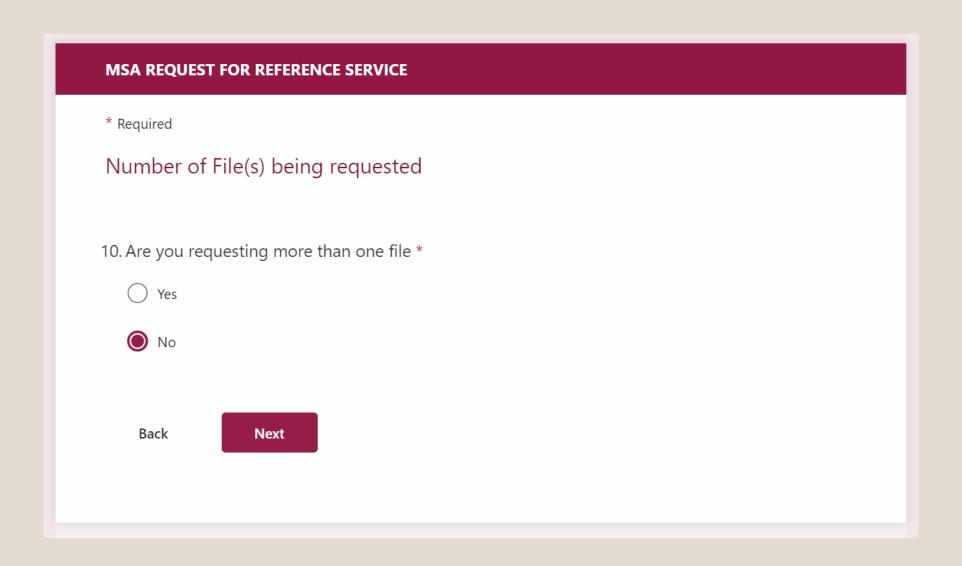
Other

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

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

↑ Upload file

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

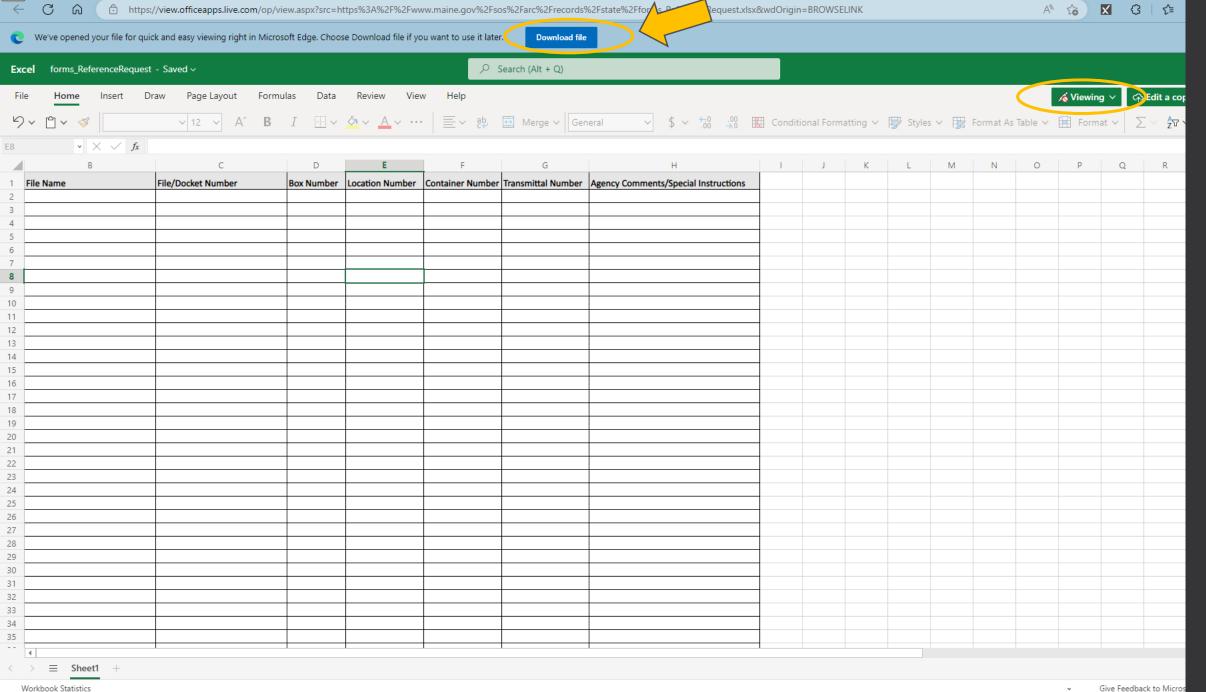
12. How many files are you requesting *

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

The value must be a number

Back

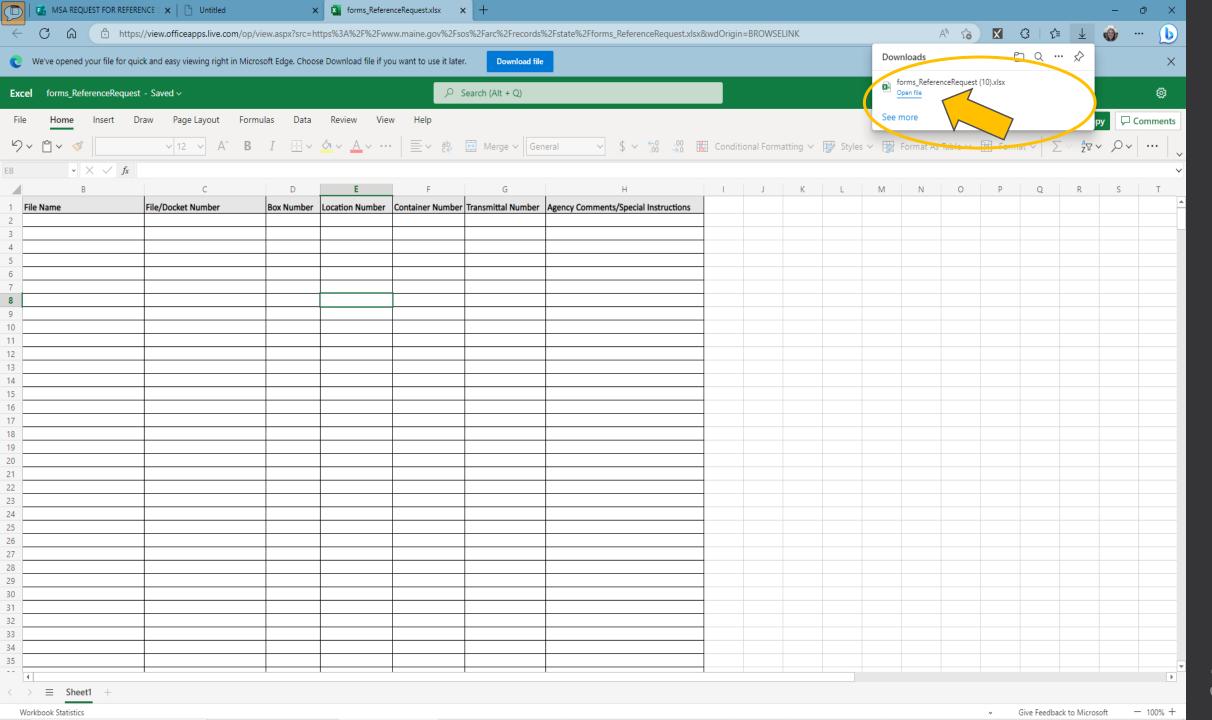
Submit



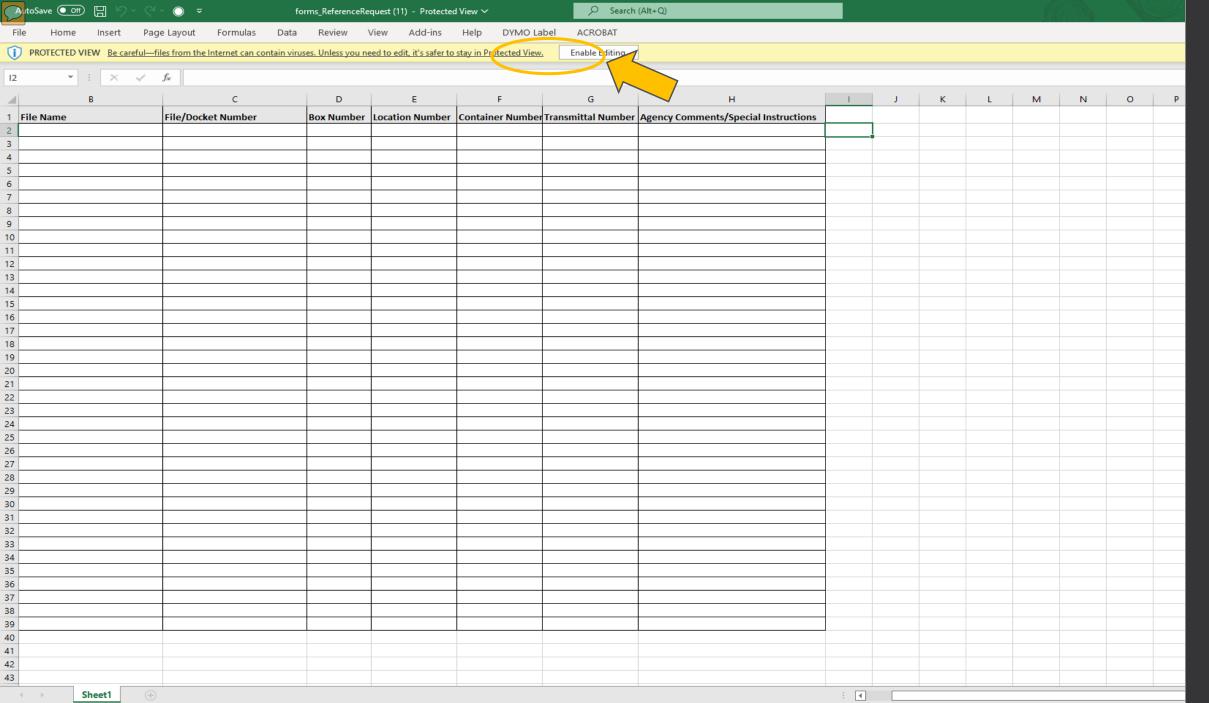
x forms_ReferenceRequest.xlsx x +

I I MSA REQUEST FOR REFERENCE S x □ Untitled

Give Feedback to Micros



39



Ready 🐻

Search (Alt+Q)

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

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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



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

Maine State Archives Records Center

Disposition notifications



Records Center Supervisor/Verification Signature

Maine State Archives

284 SHS, Augusta, ME 04333-0084

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. No. No.			bunit	
Schedule No.	Series No.	Retention	Series Title				

The following records located in the Maine State Records Center will be destroyed upon

Transmittal No.	Box No.	igned disposition in accordance with authorize Notes	Inclusive Dates		Disposition	Complete
Transmittar Ivo.	DOX 110.		From	To	Date	☑

Please return a signed copy to Records Management 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

AGENCY RECOR	DS OFFICER AUTHORIZATION				
Signature	Date				
Maine State Archives Use Only					
Records Center Disposal Signature	Date				





Disposition forms

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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.

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.

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

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



When records have met their approved retention time per signed Record Retention Schedules, Records Management sends a approved retention schedules. (See General Schedule 7.2 for further information.)

Credits



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Information

SoS Home Job Opportunities

Vendors Pardons/Executive Clemency

Site Policies

Government links

Maine.gov Maine Constitution

State Legislature

Maine Laws Maine Courts Ethic Commission

YouTube

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) 626-8400.

Language Access

CONTACT INFORMATION

RecordsCenter.Archives@Maine.gov

State Records Center 10 Water Street Hallowell, Maine, 04347

SHS #284

(Same physical & mailing address)

Maine State Archives Records Center



Records Center staff

SUSAN VERRIER

Supervisor, Management Analyst I

Susan.Verrier@Maine.gov

287-5792 or 557-1652 (cell)

EDWARD DEMOCRACY

Inventory and Property
Associate II

Edward.Democracy@Maine.gov

287-3628

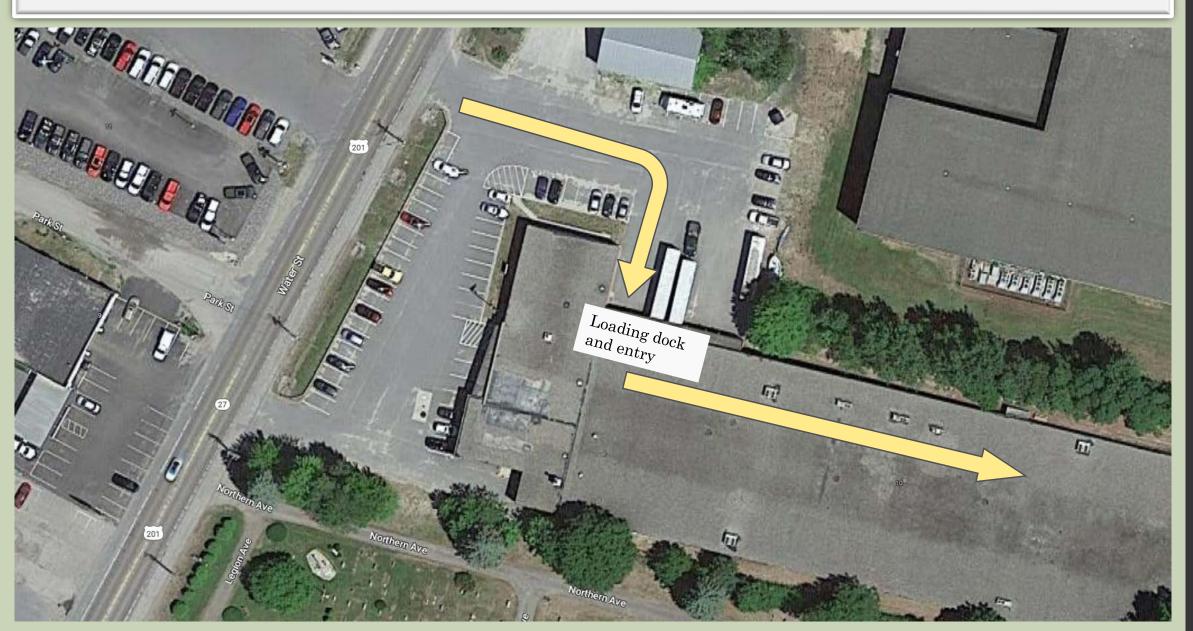
BRIAN LIBBY

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

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

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

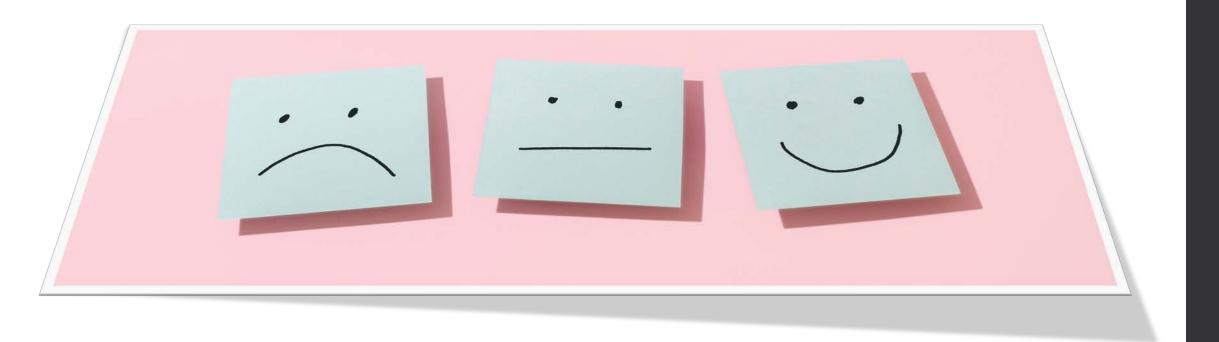
Blank Transmittal form

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

Blank Disposition Notification form for in agency use https://www.maine.gov/sos/arc/records/state/forms_disposition.doc





Questions & Answers