

## Transferring Records to the State Records Center

Effective Date: June 23, 2009

Revised: December 6, 2017

(Procedure VSARA0008)

### I. OVERVIEW/DESCRIPTION

The State Records Center provides low-cost, secure storage for records that must be maintained for audit, fiscal, legal, or administrative needs, but are no longer used frequently enough to justify storing the records on-site, which is generally more expensive. Services of the State Records Center are available to all state agencies and include box pick-up, storage, retrieval, and destruction.

For records stored in the State Records Center, both legal control and control of access to the records are retained by the agency until the records are either transferred to the State Archives or destroyed. **Unless there is a formal agreement between the agency and the Vermont State Archives and Records Administration (VSARA), the State Records Center does not have the authority to release records to the public under any circumstances or respond to public record requests.** Therefore, if a private citizen or staff member from another agency contacts the State Records Center to access records, they are referred to the appropriate agency Records Officer.

In lieu of retrieving records from the State Records Center, records officers and liaisons may send private citizens or staff members to the VSARA's Reference Room to research agency records by submitting a VSARA-03 (Authorization to Access Agency Records through the Reference Room) prior to the citizen or staff member's arrival.<sup>1</sup> The Reference Room is open Monday through Friday from 9:00 AM until 4:00 PM.

This procedure provides guidelines for retrieving records from the State Records Center and applies to both original paper records and records that have been converted to microfilm. *It is important to note here that the State Records Center is not the same as the State Archives; the State Archives accepts transfers of state archival records and assumes legal responsibilities for providing access and preserving the records.*

### II. AREAS OF RESPONSIBILITY

*State Archivist:* Maintains a record center to hold inactive records in accordance with record schedules approved by the State Archivist (3 V.S.A. § 117).

*State Records Center Supervisor:* Accepts, stores, retrieves, re-files, and disposes records in the State Records Center based on an approved record retention schedule.

<sup>1</sup> Records officers and records liaisons may obtain a blank copy of the VSARA-03 form by contacting the State Records Center at [recordscenter@state.vt.us](mailto:recordscenter@state.vt.us).

*Agency/Department Head:* Implements and sustains a record schedule in accordance with requirements established by the Vermont State Archives and Records Administration (VSARA) as part of the agency/department's records management program.

*Records Officer:* Oversees the records management program for a state agency or department (pursuant to 3 V.S.A. § 218, where applicable) and appoints and supervises records liaisons to help manage that program.

*Records Liaison:* Carries out records management functions, as delegated by a records officer, within a division or district office.

### III. PROCEDURE STEPS/CHECKLIST

#### A. Records Officer or Records Liaison

1. Reviews records suggested for transfer to the State Records Center and confirms that the records:
  - i. Are listed on a record schedule issued by the Vermont State Archives and Records Administration and approved by the State Archivist<sup>2</sup>;
  - ii. Are not part of an ongoing case or activity;
  - iii. Are no longer used frequently enough to justify storing the records on-site;
  - iv. **Have been weeded in accordance with the record schedule (where applicable);** and
  - v. Have not yet met their record retention requirements.
2. If the records meet all of the conditions listed above, ensures that the records are properly prepared for transfer:
  - i. The records are in a logical order prior to boxing and are filed in folders or other paper-based separators (records shall not be transferred in binders or other plastic or metal containers); and
  - ii. The agency/department has its own internal indexing system to locate and retrieve the records from storage.
3. If the records meet all of the conditions above, ensures that the records are properly packed for transfer:
  - i. Box numbers have been assigned by the State Records Center Supervisor prior to the transfer and consist of unique identifiers composed of an alphabetical agency/department prefix and a five digit number (e.g. TX-00352).

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<sup>2</sup> Agencies that have continuously transferred records to the State Records Center may continue to use the same record series and disposition orders until they are superseded by record schedules. Records officers and liaisons, however, must confirm that the records being transferred to the State Records Center directly correlate to the record series and its associated disposition order. These legacy records series and disposition orders are discontinued and cannot be used for new transfers after twenty-four (24) months of inactivity.

1. Contact the Supervisor at [recordscenter@sec.state.vt.us](mailto:recordscenter@sec.state.vt.us) or 828-3280 to request box numbers.
  - ii. Paige Miracle boxes have been ordered and are ready for packing.
    1. The W. B. Mason order number for these boxes is #PAIG15.
  - iii. The records are boxed in accordance with the record schedule and each box is clearly labeled with both the series number and the box number<sup>3</sup>.
    1. Only adhesive labels are to be used to label the boxes.
      - a. 3"x4" computer generated labels are preferred.
    2. **Records from one series are not boxed with records from another series.**
  - iv. The records are kept in a logical order within the box, all file folders or file separators have remained intact, and the box is not over-packed.
  - v. For boxes that are not full, a cardboard insert is in the box to keep the files and records in an upright position.
    1. State Records Center staff *will not* retrieve, re-file or interfile any records from a box if the box does not meet the conditions above. The entire box will be returned to the agency or department if a record or file from the box is needed.
  - vi. Boxes are taped closed with clear packing tape.
4. If the records meet all of the conditions above, ensures that the records are properly documented for transfer and that the transfer has been approved:
  - i. The State Records Center Supervisor has received and approved a Box Transfer List ([Form VSARA-05](#)) or the boxes have been entered into the Versatile Web Module and are ready for review (see [Procedure VSARA0012, Using the State Records Center Web Module](#), for more information).
    1. The Form VSARA-05 must be completed electronically and submitted in its original Excel format.
    2. Box titles should be brief but concise. Provide alpha or numeric ranges instead of detailed lists of the content.
      - a. The box title should not be used as an internal indexing system. The agency or department should have its own system for tracking the specific contents or files within each box.
      - b. Box descriptions, for providing more detailed lists of content, may only be added if using the Versatile Web Module and are typically not necessary.

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<sup>3</sup> Record series that are bound by a disposition order must be boxed in accordance with the disposition order and the box must be labeled with the series number and the box number.

- ii. The State Records Center Supervisor has received and approved a Records Pickup Request ([Form VSARA-04](#)) or Records Delivery Request ([Form VSARA-28](#)).
  - 1. Offices using the BGS Postal Center or contracted movers should:
    - a. Use Form VSARA-04 to request records to be picked up by the BGS Postal Center or contracted movers.
    - b. Ensure that all records are properly packed and labeled and ready at the location indicated on Form VSARA-04 and that the contact person on the form is prepared to attend the pickup.
  - 2. Offices making their own delivery arrangements should:
    - a. Make their own arrangements to deliver boxes to the State Records Center.
    - b. Submit Form VSARA-28 no later than the first Wednesday of the month in which the records will be delivered.
    - c. Ensure that all records are properly packed and labeled and ready for delivery. A copy of Form VSARA-28 must accompany the records being delivered.
- iii. The agency/department's own internal indexing system to locate and retrieve the records from storage has been updated with box information.

**B. State Records Center Supervisor**

- 1. Upon receiving a request for new box numbers:
  - i. Confirms that the individual making the request is a designated records officer or appointed records liaison.
  - ii. Allocates the next range of available box numbers to the agency or department and notifies the records officer or liaison.
    - 1. All box numbers are alpha-numeric codes assigned in consecutive order (i.e. TX-10012; TX-10013; etc.). The numeric part of the code must be five digits.
  - iii. Documents the box numbers that have been allocated to the agency or department.
- 2. When a Box Transfer List (if Versatile Web Module was not used) and Records Pickup Request or Records Delivery Request is received, confirms that:
  - i. The individual making the request is a designated records officer or appointed records liaison.
  - ii. The new box information submitted on Form VSARA-05 or through the Versatile Web Module is accurate and complete.
  - iii. The Records Pickup Request (Form VSARA-04) or Records Delivery Request (Form VSARA-28) is complete.
  - iv. If transfer is approved, provides the records officer or liaison with a confirmation receipt via e-mail and then arranges for:
    - 1. Pickup of boxes by the BGS Postal Center or contracted movers; or.
    - 2. State Records Center staff to receive delivery for agencies making their own delivery arrangements.

3. Upon receipt of transferred boxes or files:
  - i. Refuses any items that are not properly packed, approved for transfer, and/or missing necessary forms. Agencies assume all costs incurred when items are refused and returned to the agency.
  - ii. Notifies the records officer or liaison of any discrepancies between what was approved for transfer and what was received and the status of the delivery if items are refused and returned.
  - iii. Notifies the records officer or liaison of any noticeable damage or loss of records upon discovery.
  
4. Upon receiving the records at the State Records Center ensures that:
  - i. All new boxes are properly checked into the Versatile system.
  - ii. All paperwork associated with the transfer is complete and accurate.
  - iii. The boxes are stored in their designated location within the State Records Center.

#### IV. DEFINITIONS

*Records Management:* “The systematic identification and management of public records to assure their authenticity and accessibility from creation to ultimate disposition” (3 V.S.A. § 117).

*Records Officer:* A staff member designated by the head of an agency or department to carry out the agency/department’s records management program (3 V.S.A. § 218). Although 3 V.S.A. § 218 applies specifically to executive agencies and departments, constitutional officers and legislative and judicial bodies are encouraged to establish, maintain, and implement an active and continuing records management program as a best practice and designate records officers accordingly. Designation of a records officer, however, is required to transfer, store, and retrieve records from the State Records Center.

*Records Liaison:* A division/district level staff member appointed by the records officer to assist in carrying out the agency/department’s records management program.

*Record Schedule:* A “manual, directive, or policy containing descriptions of and disposition instructions for retention, access, and management” of records (3 V.S.A. § 117).

#### V. GETTING HELP

The Vermont State Archives and Records Administration (VSARA) provides records training, assistance and services to public agencies.

<i><b>If you need help with....</b></i>	<i><b>Contact....</b></i>
.....transferring, retrieving or refiling records at the State Records Center	State Records Center Supervisor, 802-828-3280 or <a href="mailto:recordscenter@sec.state.vt.us">recordscenter@sec.state.vt.us</a>
...obtaining a record schedule in order to use the State Records Center	Records Analyst at <a href="mailto:rim@sec.state.vt.us">rim@sec.state.vt.us</a>

<b>VI. APPLICABILITY AND AUTHORITY</b>
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This procedure is for transferring inactive records of state agencies to the State Records Center in Middlesex, Vermont for storage.

This is a revised procedure and therefore supersedes any State of Vermont practices in existence prior to its revised date.

The Vermont State Archivist is the statutory authority for maintaining a state records center and for this procedure on transferring records to the state records center. This procedure was initially reviewed and approved by the Vermont State Archivist on June 23, 2009. State Archivist reviewed and approved the current version of this procedure on December 6, 2017. The next review date is December 2019, or sooner at the discretion of the State Archivist.

<b>Revision History</b>	
2017-12-06	Procedure revised with minor adjustments to language and to provide updated information related to the vendor for order Paige Miracle boxes and the addition of the Box Title field in Versatile.
2015-05-06	Procedure revised with minor adjustments to language.
2013-07-01	Procedure revised with minor adjustments to language.
2009-06-23	New Procedure approved.