

Re-filing and Interfiling Records at the State Records Center

Effective Date: March 2, 2011

(Procedure VSARA0011)

I. OVERVIEW/DESCRIPTION

The State Records Center provides low-cost, secure storage for records maintained for audit, fiscal, legal, or administrative needs, but are no longer used frequently enough to justify storing 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.

The State Records Center offers a file retrieval service, which allows individual files within a box to be requested and returned to their creating agency rather than returning the entire box. Agencies must return files in a timely manner or alert the State Records Center if the file will not be returned. In certain circumstances, the State Records Center also offers an interfile service, which allows a new file to be interfiled into box or a new record to be interfiled into an existing file in a box stored at the State Records Center.

This procedure provides guidelines for re-filing or interfiling records into existing boxes stored in the State Records Center.

II. AREAS OF RESPONSIBILITY

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

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

Agency/Department Head: Implements and sustains a record schedule in accordance with requirements established by VSARA as part of the agency/department's records management program (3 V.S.A. § 218).

Records Officer: Designated by the agency/department head to serve as the agency or department's records officer and carry out the agency/department records program (3 V.S.A. § 218).

Records Liaison: Appointed by the records officer to help manage and carry out the agency/department records program within a division or district office.

VSARA Records Analyst: Reviews requests to re-file or interfile records and authorizes transfer.

III. PROCEDURE STEPS/CHECKLIST

A. Records Officer or Records Liaison

1. Upon receiving original paper files from the State Records Center:
 - i. Monitors files until their return to the State Records Center or, if retention requirements have been met, their destruction.
 - ii. Returns files to the State Records Center to be re-filed back in their original boxes when the files are no longer needed within the agency and retention requirements have not yet been met, provided that:
 1. Files have their original request slips;
 2. Files have not been checked out for longer than 12 months after the date of their original requests;
 3. No new records have been added to the files;
 4. The volume of re-files submitted to the State Records Center in any given delivery does not exceed two (2) boxes.
 - iii. If files do not have their original request slips; have been checked out for longer than 12 months; have new records added to the files; and/or exceed two (2) boxes in any given delivery:
 1. A review request ([VSARA-32](#)) must be submitted to a VSARA records analyst. The records analyst will review the request and, where warranted, provide the agency with an *Authorization to Re-file*.
 - a. If re-filing is authorized but the files have new records, one of the following may be required before the files can be returned for re-filing in the State Records Center:
 - i. Update existing box descriptions; or
 - ii. Filing in new boxes because retention requirements have changed or the existing boxes are too full.
 2. Files transmitted to the State Records Center that do not have their original request slips; have been checked out for longer than 12 months; have new records added to the files; and/or

exceed two (2) boxes in any given delivery and have not been reviewed and authorized for refiling will be returned to the agency at agency-expense.

2. Upon receiving internal notice that a record or file needs to be interfiled into an existing box at the State Records Center:
 - i. Confirms that the record or file requested to be interfiled has not met its record retention requirements according to existing disposition orders or record schedules;
 - ii. Justifies the necessity to interfile the record or file into an existing box of the records;
 - iii. Verifies the box number, box description and box date range to ensure that the correct box has been identified for the interfile.
 - iv. Determines what changes, if any, would need to be made to the box description or box date range if the new record or file is interfiled.
 - v. Submits a review request ([VSARA-32](#)) to a VSARA records analyst for *Authorization to Interfile* before submitting any records or files for interfiling.
 - vi. If an *Authorization to Interfile* is received from VSARA, completes an Interfile Transfer Cover Sheet ([VSARA-06](#)) for each record or file to be interfiled.
 1. Interfiles transmitted to the State Records Center without prior authorization and an Interfile Transfer Cover Sheet (VSARA-06) will be returned to the agency at agency-expense.

B. VSARA Records Analyst

1. After receiving a re-filing or interfiling review request, evaluates the agency's necessity to re-file or interfile based on the following criteria:
 - i. Has the re-file or interfile already met its retention requirement? If not, what is the current filing requirement for the re-file or interfile?
 - ii. Would the addition of new records to a re-file or the addition of an interfile to an existing box change the retention requirement for original file or box?
 - iii. Does the volume of records requested to be re-filed or interfile exceed the abilities of State Records Center staff and require the agency to do its own re-filing or interfiling?

2. When warranted, provides the records officer with an *Authorization to Re-file* or an *Authorization to Interfile* and explains any filing requirements necessary for the re-file or interfile. If the request is denied, explains to the records officer or liaison why the request was denied.
 - i. Records officers and liaisons are encouraged to contact the VSARA records analyst who authorized or denied the request if they have any questions.

C. State Records Center Supervisor

1. Accepts and re-files files provided that the files have:
 - i. Their original request slips; have not been checked out for longer than 12 months; do not have new records added to the files; and do not exceed two (2) boxes in any given delivery; or
 - ii. An *Authorization to Re-file* from a VSARA records analyst.
2. Promptly returns any re-files to the agency, at agency-expense, that:
 - i. Do not have their original request slips; have been checked out for longer than 12 months; have new records added to the files; and/or exceed two (2) boxes in any given delivery; or
 - ii. Do not have an *Authorization to Re-file* from a VSARA records analyst.
3. Accepts and interfiles new records and files that have an *Authorization to Interfile* from a VSARA records analyst.
4. Promptly returns, at agency-expense, any interfiles transmitted to the State Records Center without prior authorization and Interfile Transfer Cover Sheets ([VSARA-06](#)).

IV. GETTING HELP

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

<i>If you need help with....</i>	<i>Contact....</i>
...re-filing or interfiling records at the State Records Center	State Records Center Supervisor recordscenter@sec.state.vt.us
...requesting a review to re-file or interfile records at the State Records Center	Records Analysis and Policy Development Unit rim@sec.state.vt.us

V. APPLICABILITY AND AUTHORITY

This procedure is for re-filing and interfiling records into boxes stored at the State Records Center in Middlesex.

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

The Vermont State Archivist is the statutory authority for maintaining a records center and for this procedure on retrieving records from the records center. This procedure was reviewed and approved by the Vermont State Archivist on March 2, 2011. The next review date is March 2013.

VI. REFERENCES

Act 96 of 2008:

<http://www.leg.state.vt.us/docs/legdoc.cfm?URL=/docs/2008/acts/ACT096.HTM>

Vermont Statutes Annotated: <http://www.leg.state.vt.us/statutes/statutes2.htm>