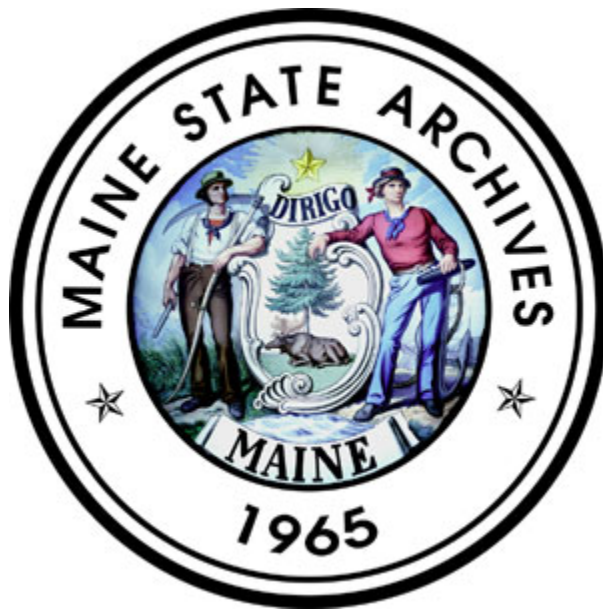


RECORDS MANAGEMENT MANUAL



MAINE STATE ARCHIVES
Division of Records Management Services

JULY 2012



Table of Contents

INTRODUCTION	4
The Law	4
Maine State Archives Organization Chart	5
The Records Management Services Division – What We Do	6
State Agencies – What You Must Do	6
The Maine State Archives Imaging Center.....	6
BASIC INFORMATION	7
Definition of a Record	7
Digital Records	7
Record Series	7
Archival Digital Records	8
Email Retention	8
Purpose of Records Retention Scheduling	8
CREATING NEW SCHEDULES	9
Application for Records Retention Schedule.....	9
Retention Periods.....	9
Archives or Destroy?	9
The Records Series Inventory.....	10
Amending an Existing Schedule.....	10
General Schedules	11
THE STATE RECORDS CENTER	12
General information.....	12
Access to the State Records Center	12
Records research and retrieval	13
Retrieving your records from the State Records Center	13
Transferring records to the State Records Center	13
Requirements for packing boxes	14
Table of equivalents.....	15
TRANSMITTAL OF RECORDS	15
Completing the transfer	15
From your office to the State Records Center or Archives.....	15
GUIDELINES FOR SAFE TRANSPORT OF STATE RECORDS	16
THE LEGAL DESTRUCTION OF RECORDS	17
When Records Management destroys records.....	17

When your agency destroys records	17
PURCHASING RECORDS MANAGEMENT EQUIPMENT	18
How to purchase records management equipment	18
Why all this red tape?	18
VITAL RECORDS YOU CAN'T AFFORD TO LOSE	19
If disaster strikes	19
Fire, flood, explosion or any other non-computer virus disaster	19
If you discover a computer virus	19
GLOSSARY	20
CONTACT INFORMATION	23
RECORDS FORMS	24

INTRODUCTION

THE LAW

**The Records Management Program for the State of Maine is authorized by:
MRSA Title V, Chapter 6, Section 95, Subsection 7:**

7. Records Management Program. To establish and administer in the executive branch of State Government an active, continuing program for the economical and efficient management of state records. Upon request, the State Archivist shall assist and advise in the establishment of records management programs in the legislative and judicial branches of State Government and shall, as required by them, provide program services similar to those available to the executive branch. The State Archivist shall, with due regard for the functions of the agencies concerned:

- A.** Provide standards, procedures and techniques for effective management of records in the conduct of current business.
- B.** Recommend improvements in current records management practices, including the use of space, equipment and supplies employed in creating, maintaining, storing and servicing records;
- C.** Establish schedules, in consultation with the heads of state departments, under which each department shall retain state records of continuing value, and dispose, as provided by this chapter, of state records no longer possessing sufficient administrative, legal or fiscal value to warrant their future keeping for current business;
- D.** Obtain such reports from agencies as are required for the administration of the program;

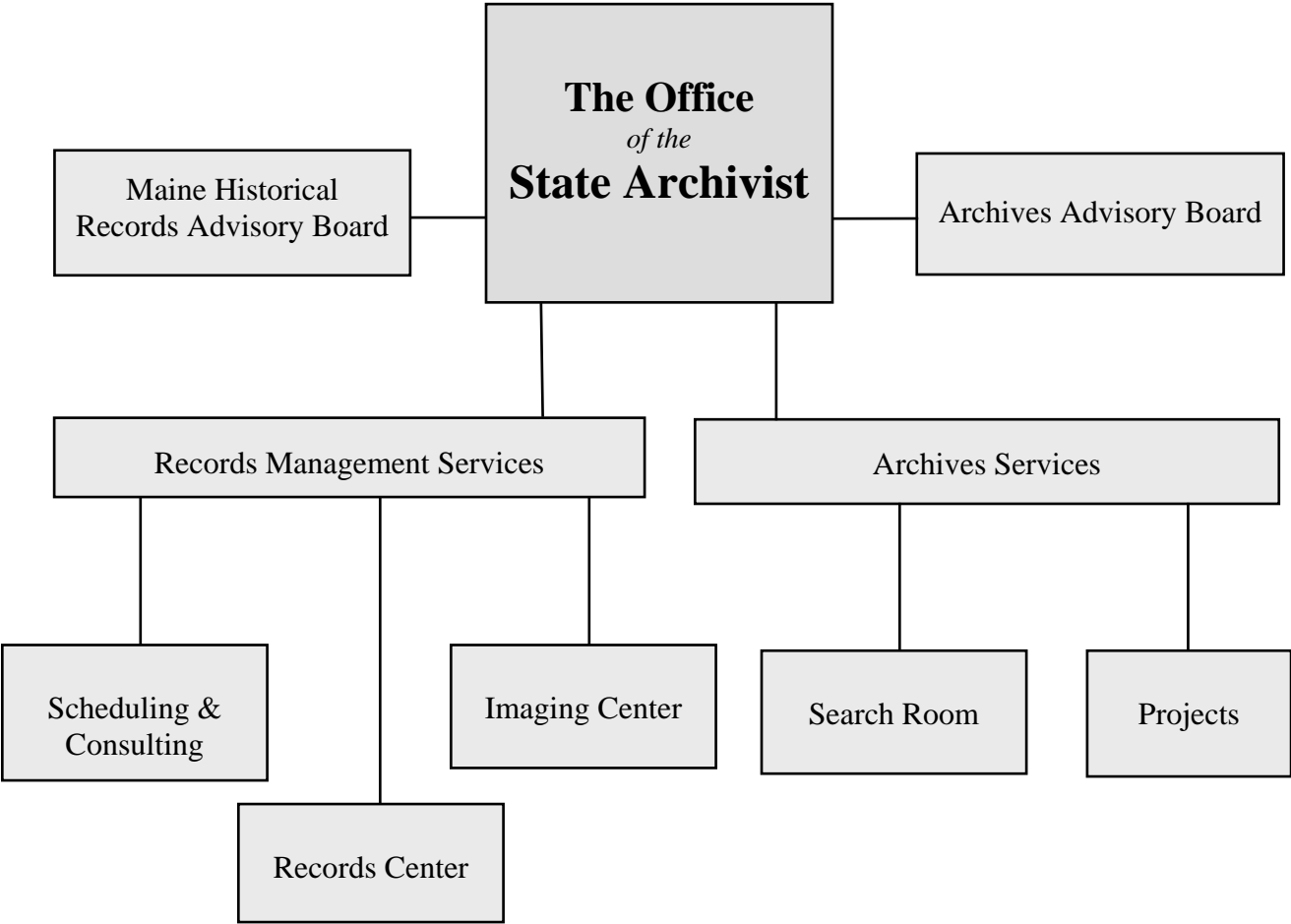
The head of each agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency in compliance with the standards, procedures and regulations issued by the State Archivist.

Transfer of state records. To provide for the transfer to the archives of state records, disposed of under subsection 7, paragraph C, which have archival value;

Destruction of Records. To authorize and receive confirmation of the destruction of the records of any state department, which, in the opinion of the head of the department are no longer of value to the department, and which, in the opinion of the State Archivist and the Archives Advisory Board, have no archival value to the state;

To carry out the Legislature's intent as described in this statute, the State Archivist has established our program. **We are here to provide these services to you, our fellow state and local government employees.**

MAINE STATE ARCHIVES ORGANIZATION CHART



RECORDS MANAGEMENT SERVICES DIVISION

The goal of records management is to get the right record to the right person, at the right time, at the lowest possible cost. The purpose of the program is to control the creation, utilization, filing, maintenance, storage and final disposition of state records. Our duties include:

Improving information retrieval;

- ♦ Providing standards, procedures and techniques for effective management of all records, regardless of media;
- ♦ Establishing retention schedules;
- ♦ Providing training for records officers, assistant records officers, and other state and local government employees;
- ♦ Transferring infrequently referenced hard copy records to the State Records Center;
- ♦ Assisting each customer agency with the management of its records.

STATE AGENCY RESPONSIBILITY

- ♦ The head of each state agency or local government agency shall establish and maintain an active, continuing program for the economical and efficient management of any records in compliance with the standards, procedures and regulations issued by the State Archivist. – from Title 5, §95
- ♦ The head of each agency will appoint a records officer.
- ♦ The records officer will be responsible for the economical and efficient management of all records for that agency, including digital records, in compliance with the policies of the State Archivist.
- ♦ The person chosen as records officer should have a thorough knowledge of the organization and its functions, as well as sufficient authority to carry out the duties and sufficient time to do so.
- ♦ The records officer will appoint at least one assistant (sometimes called associate) records officer for each unit within the agency.

THE MAINE STATE ARCHIVES IMAGING CENTER

Document imaging systems can improve work flow and efficiency, as well as reduce the need to store paper records in expensive office space. Due to both the installation of such systems at state agencies and the growing number of documents that are "born digital" in the first place, it no longer makes sense for us to operate an in-house unit for microfilming nonpermanent records. We can provide a list of vendors that are able to do this work to the standards required for state records, for any agency that may have a continuing need.

The Imaging Center was originally established to reproduce documents and photographs from Maine State Archives holdings. Microfilming of archival records continues, as does photographic copying when requested. More often, though, we now scan permanently valuable records for easy access and reproduce them using archival-quality printing supplies. Framing services are also available. For reproduction of large format documents, and for creating images of museum artifacts, the Imaging Center uses a digital "scan back" and wide format fine art printer.

Many interesting images are available for sale to other government agencies and to the public. Our eStore at http://www10.informe.org/webshop_ifw/?storeID=5 offers these items on line. Of course we are also glad to accept orders by telephone and from visitors to our Search Room.

BASIC INFORMATION

DEFINITION OF A RECORD

"Record" means all documentary material, regardless of media or characteristics, made or received and maintained by an agency in accordance with law or rule or in the transaction of its official business. "Record" does not include extra copies of printed or processed material of which official or record copies have been retained, stocks of publications and processed documents intended for distribution or use or records relating to personal matters that may have been kept in an office for convenience. – from Title 5, §92

All recorded information, regardless of physical form or characteristics: paper, microfilm, word processing files, spreadsheets, databases, audio recordings, video recordings, e-mails, paper documents scanned to create image files, plus any other formats that may come into use as technology advances;

Made or received in connection with the transaction of official government business; and

Maintained as evidence of the agency's functions, policies, decision, procedures, operations and other activities; or because of informational value.

DIGITAL RECORDS

"Electronic record" means a record whose content is not readable unless retrieved by means of an electronic device such as a computer or an audio or video player. – from Title 16, §456-A

A digital record is an electronic record that can be retrieved and read only by using a combination of computer hardware and software. It may begin with paper or microfilm source documents subsequently converted to digital images, but most documents in the 21st Century office are "born" digital – created as computer files in the first place. Digital records can be stored on personal computers, networked servers, and offline media such as CDs, DVDs, flash drives and magnetic tape. A digital file's content, not its format or storage location, determines its status – record or nonrecord – and its retention period. Whether it is an e-mail message, a word processing document, spreadsheet, database, presentation, image file, Geographic Information System layer, or anything else digital, it is a state record if created or received in the course of state business.

RECORD SERIES

A group of identical or related records (or, in more modern terms, a group of records created by the same business process that document the same type of transaction).

Examples: case files of an institution; invoices; transitory correspondence.

Documents in the same record series are normally filed as a unit, whether in a drawer of paper records, a computer subdirectory, or an e-mail folder.

Some characteristics of a record series are:

- ♦ Produced by the same activity;
- ♦ Documents a certain kind of transaction;
- ♦ Relates to a particular subject;
- ♦ Arranged under a single filing system;
- ♦ Retained for the same period of time.

Records inventories and schedules deal with records in series rather than as separate folders or documents. DO NOT combine series when inventorying or developing schedules as it can cause problems later on.

ARCHIVAL DIGITAL RECORDS

- ♦Contact Records Management with specific questions on what to do.
- ♦Do not delete files from a departing employee's PC or from that employee's files on the agency's server(s).
- ♦Do not delete the contents of a departing employee's e-mail box and .pst (archive) files.
- ♦Do not burn files onto a CD or DVD and deliver them to the Archives.

E-MAIL RETENTION

E-mail is subject to the same retention requirements as paper correspondence, based on message content.

If you delete unneeded e-mail you can more easily find what you are looking for, especially if you use Outlook's folder capabilities to file messages in a logical manner.

Organizing and managing e-mail (and other files) will save space, provide more efficient access, and make it easier to maintain confidentiality when that is required.

Organizing and managing e-mail will reduce going through outdated records in response to legal discovery proceedings and FOAA (Freedom of Access Act) requests. It will also give you authority to delete files due for destruction, which means that you cannot be held liable for failing to produce those files if – unlikely thought it may be – someone requests them later on.

When an employee leaves a position, computer files (including e-mail) may not be deleted for that reason only!

Not all e-mail systems create automatic backups of your files. Those that do this are not substitutes for your own file management, since backups are overwritten periodically and do not distinguish among subjects, acknowledge retention periods, or otherwise organize the messages in any way except according to transaction date and sender/recipient(s). A backup is not a recordkeeping system.

PURPOSE OF RECORDS RETENTION SCHEDULING

The first step in gaining control of your agency's records is to find out what records exist!

Your agency needs to know how long to keep its records, and what to do with them afterward. Should they be destroyed, or should they be preserved permanently at the Maine State Archives? Records retention scheduling organizes your agency's records into series (more about that later), and sets a retention period for each series. It also establishes the correct disposition – destroy or transfer to Archives – for each series.

- ♦Records retention schedules drive an agency's records management program;
- ♦Schedules provide the guidance necessary to prevent unneeded records from cluttering agency offices;
- ♦Schedules provide the guidance necessary to preserve mid to long-term records until they have served their purpose.

Title 5 §95 requires that all state government records be covered by retention schedules. This includes records that never leave the creating agency's custody.

Retention schedules for digital records work about the same way as for paper, microfilm, and other "traditional format" records. The state is working toward implementing a records management/content management system that will make it much easier for individual employees to classify their "born digital" records, including e-mails and related file attachments. Meanwhile, we will work with you in applying your agency's retention schedules to your digital records. The most important principle to remember is this: **Content, not format, determines retention.**

CREATING NEW SCHEDULES

APPLICATION FOR RECORDS RETENTION SCHEDULE

The first step in creating a new schedule is completing an Application for Records Retention Schedule (MSA/RM 22). This form can be downloaded from <http://www.maine.gov/sos/arc/records/state/strecforms.htm>. You cannot fill it out on line – you must save the form to your computer and then complete it.

The application provides general information about the records you want to schedule, such as the creating agency, series title, and proposed retention period. It serves as a cover or “batch” sheet for the Records Series Inventory form (or forms) to follow.

RETENTION PERIODS

Total Retention Period = Time retained in agency + Time retained in Records Center

Determining the appropriate retention period for records requires taking a look at their value to the creating agency, and then another look at their possible **enduring** (long term, possibly permanent) value to researchers.

Some questions to ask:

Administrative use: *What is the value of these records in carrying out your department’s functions? How long are they needed for **immediate** retrieval?*

Legal requirements: *Is a certain retention period necessary to comply with a statute or the rules of other agencies, or for protection of someone’s legal rights and interests? Are Federal retention periods involved?*

Fiscal requirements: *How much time must you allow for fiscal requirements such as audit or budget?*

Historical or research purposes: *Do these records document important events, or the history and development of your department?*

ARCHIVES OR DESTROY?

500 years from now, will someone want to use these records?

YES - This series may belong in the Archives **NO** - The records should be destroyed when your agency no longer needs them

About 5% of Maine state government records have enduring value sufficient to justify transferring them to the Maine State Archives.

From time to time, a document or file within a record series scheduled for destruction may appear to be permanently valuable. On the rare occasion you think you have such a document or file, please call us at 287-5798. We will arrange for an archivist to appraise your “find.”

THE RECORDS SERIES INVENTORY

Complete a separate Record Series Inventory (MSA/RM 59) for each series listed on the Application for Records Retention Schedule.

The Record Series Inventory form can be downloaded from <http://www.maine.gov/sos/arc/records/state/strecforms.htm>. This form supplies detailed information about each series to be scheduled (description, cubic feet of hard copy records that exist and require storage, justification for proposed retention period, proposed disposition of Archives or destroy). The Record Series Inventory form must be accompanied by “live” samples, which means no blank forms. It is acceptable with sensitive records for the agency to black out (redact) confidential information, or to submit a form completed with fictional data; but there must be samples, to show what is in the series.

AMENDING AN EXISTING SCHEDULE

After a retention schedule has been approved by the Archives Advisory Board, your agency may need to change it. You might need to do this because of a change in statute, in a Federal regulation, in your agency’s policies, in your business needs, or simply because experience with the records tells you that they are being accessed more or less frequently than you expected when writing the current schedule.

Download the Application for Records Retention Schedule form. Mark the application “amendment” and fill in the following information: series number; series title; new retention periods; schedule number. Be sure to check “change in retention” as the reason for the amendment.

We do not require an amendment for a change of media. Unless the series has a disposition of Archives, the media your agency chooses to maintain and use the record copy – the copy to which you apply the full retention period – is strictly a business decision.

When changing a record series description, you need to submit 2 documents:

- ▷ An Application for Record Retention Schedule (marked “amendment”), and
- ▷ A record series inventory updated to reflect the change of description.

Also, please include samples of any added documents. You may need to file such an amendment if the documents the series includes have changed, which usually happens when the program itself has changed. You do not need to change the description for minor alterations in the documents the series includes.

GENERAL SCHEDULES

General Record Schedules provide disposition standards for records common to several or all state agencies. Each includes:

- ♦Record series numbers.
- ♦Record series descriptions.
- ♦Which agency holds the **record copy**, and the record copy's required retention period and disposition.
- ♦The retention period for agency copies of the same record.

Brief definitions:

The **record copy** is a single copy of a record retained by its assigned custodian as the official record of a government transaction.

The **agency copy** is kept by the agency that initiates the transaction. Agency copies are not convenience copies which may be destroyed when no longer useful, because they may not be exact duplicates of the record copies that the creating agency has sent for processing. The General Schedules require agency copies to be retained for specific time periods.

Examples:

The Bureau of Human Resources maintains the record copies of employee personnel records. Each agency maintains its own copies of these records, too, and must do so according to the requirements of General Schedule 10.

The Division of Purchases maintains record copies of contracts with vendors. Each agency that sends contracts to Purchases for processing and approval also maintains its own copies of these contracts, which must be kept for the retention period required by General Schedule 1.

Before submitting a new Application for Records Retention Schedule, please check to see if a General Schedule exists for the records. The General Records Schedules may be viewed or downloaded online at:

<http://www.maine.gov/sos/arc/records/state/gensched2.html>

THE STATE RECORDS CENTER

General information

You can request retrieval of your records from the Records Center on any work day between 8 a.m. and 4 p.m. The Records Center provides its customer agencies with centralized, economical storage for their inactive (sometimes called semi-current) and pre-archival government records.

When should records go to the Records Center instead of remaining at your agency?

⇒In-office records retention (active or current records)

All records used frequently (more than once a month per file drawer) should be kept at your office.

⇒Records Center retention (inactive, semi-current or pre-archival)

Records used less than once a month, but still needed for legal, administrative or referencing reasons, should be sent to the Records Center. (Pre-archival records are scheduled for a disposition of Archives, but are temporarily stored in “Records Center status” — that is, still under your agency’s control — because you may need to use them from time to time.)

All records in the Records Center, and all pre-archival records in Records Center status, belong to the agencies that created them.

ACCESS TO THE STATE RECORDS CENTER

Only those persons who have been issued an *Authorization for Records Center Use Card* (MSA/RM 32) may order records retrieved.

Records Officers should use the Application for Authorization for Records Center Use Cards, available for download at <http://www.maine.gov/sos/arc/records/state/strecforms.htm> to order cards. Only Records Officers and Assistant Records Officers may make this request.

We do not issue photo IDs. Please have both your access card number (it is printed on your card) and your driver’s license, security badge, or other photo ID ready if you want to pick up files in person. We will need to make sure we are giving the files only to someone authorized to have them.

Access cards are not transferable. Do not assume that you can use a colleague’s card, and do not lend your card to anyone else.

Records Officers are responsible for notifying us of all changes in access authorizations. When a cardholder leaves the agency, the Records Officer must tell us so we can cancel the card. We also need to know if a cardholder whose duties have changed should no longer be allowed to order records, or should have different access restrictions.

We do an ongoing review to delete the names of employees who are no longer authorized for Records Center access.

RECORDS RESEARCH AND RETRIEVAL

Retrieving your records from the State Records Center

You may request records by e-mail, fax, telephone, or mail. *If we receive correct and complete referencing information, we will put the requested records in our outgoing mail within 24 hours – excluding days when state offices are closed – or notify you that they are ready for pickup, if you prefer.*

Please use *Request for Reference Service Form* (MSA/RM 70) to order records in writing. You can find this form on line at <http://www.maine.gov/sos/arc/records/state/strecforms.htm>.

We prefer e-mail requests whenever possible!(RecordsCenter.Archives@maine.gov)

E-mail requests prevent transcribing errors. They also save time that we must otherwise spend writing down what we think we hear in a telephone message. e boxes out of your office!

TRANSFERRING RECORDS TO THE STATE RECORDS CENTER

Getting Records Out of Your Office

The Archives Advisory Board and the State Archivist must approve your retention schedule before we can accept records for transfer to the Records Center.

Materials required

Records Center Boxes (we cannot accept records packed in other containers). You can order these from the Central Warehouse: A001, 10 per bundle.

Transmittal of Records Form (MSA 33). You can download this form from <http://www.maine.gov/sos/arc/records/state/strecforms.htm> .

Packing list (also available from <http://www.maine.gov/sos/arc/records/state/strecforms.htm>).

Packing Boxes

Please use labeled folders in sequential order, which may be alphabetical or numerical.

DO NOT OVER LOAD OR STUFF RECORDS INTO THE BOXES!!! Each box should be about 4/5 full.

Do NOT mix different record series in the same box. We need to track the retention period for each box on our database, and we cannot do this efficiently if the box contains more than one series.

Do NOT pack hanging (“pendaflex”) folders in the box. This wastes space as well as supplies, and it also makes the boxes heavier for your staff and ours to handle.

Clearly and accurately labeled folders, along with correct and complete itemized lists inside the boxes, will help us retrieve your records quickly.

Marking Boxes

- Using a black marker, write the following on each box (on the long side):
- Box number
- Arrangement (this is simply the first and last file in the box)

Record Center staff will add the agency number, retention date, and assigned location number.

We STRONGLY recommend that you place an itemized list in each box and keep a copy for your own records. This helps us retrieve what you request, and it leave no doubt as to whether or not a record was in the box when it came to us.

REQUIREMENTS FOR PACKING BOXES

1. Please use **new** Records Center boxes. Recycling and reusing can be wonderful for some things, but not for cardboard containers that must be marked clearly and must stand up to years of handling.
2. Arrange files first by the year's closing date, then alphabetically or numerically within that year. Only one fiscal or calendar year per box, please. The Records Center Supervisor must receive a corresponding transmittal in advance, with enough time to review it and contact you if there are questions before delivery or pick up. Please do not add boxes to a transmittal without the Records Center Supervisor's approval.
3. Do not overstuff boxes. Each should be no more than 4/5 full.
4. Please place an itemized packing list in the box.
5. Do not mix different record series in the same box.
6. Number your boxes consecutively, with no duplicate box numbers. If you use the same box numbers on different transmittals, it will be harder for our staff to shelve the boxes; and it will also make retrieval more difficult.
7. On the outside of the box, list the first and last file inside it.
8. Unacceptable boxes include those containing hanging folders or three ring binders; reused, old, improperly marked boxes; overstuffed boxes; boxes with broken handles. Records Center staff will be referencing this material; and the easier it is for us to handle your boxes, the better they will protect your records. This also helps keep our staff members safe.

"Archives" (as some customers also call the Records Center) will accept only boxes that meet the criteria just listed. 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 call 287-5792 (Records Center Supervisor).

INCLUDE INFORMATION
ON BOTH ENDS OF THE BOX!

AGENCY USE		AGENCY USE	
Maine State Archives			
Box Contents	Box Number		
	Transmittal Number		
	ARCHIVES USE ONLY		
Location Number	Disposition Date		
ARCHIVES USE ONLY	ARCHIVES USE ONLY		

TABLE OF EQUIVALENTS

Standard Record Center Box = 1 Cubic Foot

Type	Size	Volume	Cubic Feet
Standard File Cabinet	Letter 8 1/2" x 11"	1 full drawer	1.50
	Legal 8 1/2" x 14"	1 full drawer	2.00
Lateral File Cabinet (39" drawers)	Letter 8 1/2" x 11"	1 full drawer	2.50
	Legal 8 1/2" x 14"	1 full drawer	3.00
Shelf Files (15" x 36")	Letter 8 1/2" x 11"	1 full shelf	3.00
	Legal 8 1/2" x 14"	1 full shelf	3.40
Index Cards	3" x 5"	12,000 cards	1.00
	4" x 6"	6,000 cards	1.00
	5" x 8"	4,800 cards	1.00
Microfilm	16mm x 100'	90 reels	1.00
	35mm x 100'	44 reels	1.00

COMPLETING THE TRANSFER

From your office to the State Records Center or Archives

The Records Center Supervisor will process your transmittal, and will contact you to arrange pick up or delivery. (*We pick up boxes only in the Augusta and Gardiner area*)

After the Records Center has received your boxes, we will complete the Transmittal of Records Form with box locations and return it through the Records Officer to the contact person listed.

The contact person should then attach the itemized list of box contents to the Transmittal of Records Form. This will create a complete record of what is in the boxes and where they are located in the Records Center!

GUIDELINES FOR SAFE TRANSPORT OF STATE RECORDS

Use a covered vehicle!

It's amazing, and frightening, what can happen to records in the bed of an open pickup truck. The boxes can come open – the vehicle can drive through an unexpected rain shower – someone can decide to open a box and rummage through it, if the driver has to stop and leave the vehicle unattended. A tarp and tie-downs are better than nothing, but transporting State records in an open vehicle is always an invitation to trouble.

Handle boxes carefully, and make sure anyone else who will be handling them knows you expect this, too.

Why would anyone stand on a box filled with State records, in order to reach something else on the truck? Without thinking that the box might collapse, and that wouldn't do much for the records inside it? This has happened before, and we don't want it (or anything similar) to happen again. Take a moment to make sure the people who will be performing the transfer know that the boxes contain official State documents, and must be handled with reasonable care.

Make sure you know what will happen if a hired carrier can't pick up the boxes from you, and deliver them to us, all in the same day.

Your contract with the moving company should specify how they will secure your records if they have to hold them overnight. Ideally, this shouldn't happen at all; but experience tells us that it can. And sometimes will.

Make sure your contract with a hired carrier specifies that the vehicle's cargo compartment must be kept locked at all times, except during loading and unloading (and will not be left unattended, even briefly, during the loading and unloading processes).

Specify that the boxes will be stacked no more than three high.

This will avoid collapsed boxes and crushed, damaged records.

Palletized boxes should be shrink wrapped to keep them from shifting during transport.

Another way to avoid crushing, bursting open of boxes, and the resulting damage. Loads do shift, even when carefully packed. If you're using a commercial shipper, the company should be able to protect your records by doing this.

THE LEGAL DESTRUCTION OF RECORDS

When Records Management destroys records

We destroy records stored in the Records Center only after:

1. The Records Center Supervisor sends a *Records Center Disposition Notice* (MSA/RM 72) to the agency of record;
2. The Records Officer approves the disposition;
3. The Records Officer returns the form to the Records Center Supervisor;
4. Maine State Archives reserves the right to destroy records that have passed (by 10 months) their expired retention date. The need for Archives involvement occurs when the generating agency refuses to sign off on the destruction of the records. (Warehouse space is always at a premium)

This is the Records Officer's opportunity to double check and make sure the records are not needed for an uncompleted audit, anticipated litigation, or other need that the retention schedule did not anticipate.

When your agency destroys records

Agencies may destroy records according to approved retention schedules.

Records should be destroyed in a confidential manner (preferably by shredding). The State of Maine's contractor for waste paper provides shredding as part of its routine service. That was not true with past recycling contractors, though; and it may not always be true in the future. If in doubt, you must check. It is your agency's responsibility to make sure its records are destroyed without breach of confidentiality.

The key to confidential destruction is keeping your records secure until they are picked up or processed by the contractor. Do NOT store them to wait for pickup in an area accessible to the public, such as a loading dock, hallway, or conference room.

Even if the files are not confidential in the legal sense, no agency wants to be the subject of a news story about records that were supposed to be picked up for destruction — but instead wound up intact and outside of the State of Maine's possession. We have all read accounts of documents found in dumpsters, scattered along roadsides, or even picked from landfills by concerned citizens.

PURCHASING RECORDS MANAGEMENT EQUIPMENT

HOW TO PURCHASE RECORDS MANAGEMENT EQUIPMENT

To order filing, microfilming or imaging equipment, you must fill out a *Records Management Expenditure Request* (MSA/RM 94). You find the form online at:

<http://www.maine.gov/sos/arc/records/state/strecforms.htm>

- Your expenditure request must be approved by the Director of Records Management Services.
- Send the form directly to the Director at 84 SHS and hold your requisition or contract release until you receive his approval.
- The Director will approve your request and return a copy to you. The original will be sent directly to the Division of Purchases to be matched up with your order, which you can then send in. If the request cannot be approved as submitted, you will be contacted by Records staff who will explain the problem. This can nearly always be resolved, because no one wants to stop you from getting what you need. Records Management must make sure that records you plan to store or convert to another format have retention schedules, and that any conversion work is being done by an approved vendor.

Supply all information requested on the form, including the schedule and series numbers.

If no retention schedule has been approved for the affected records, you must submit an Application for Records Retention Schedule, Record Series Inventory Form and record samples with the request.

We will gladly defer the scheduling process for up to six months, though, if the records relate to a new program, new position, or new agency function. If this is the case, please tell us so on the form.

The MSA/RM 94 is also required for purchase of such records storage equipment as shelving, filing cabinets, and form racks, and to contract for records conversion services such as microfilming or microfiching.

When in doubt, please call us before you select the equipment or vendor and prepare the paperwork!

Why all this red tape?

Poor equipment selection can sentence an agency to years of inefficient reference activity and uneconomical storage. We want to make sure that you are purchasing the equipment and/or services best suited to your needs.

ALSO, we want to make sure that you have scheduled all the records that you plan to store!

VITAL RECORDS YOU CAN'T AFFORD TO LOSE

What are “vital records”?

Vital records are all records needed to recreate an agency's legal and/or financial position and to preserve the rights of that agency, its employees, and the general public. In other words, vital records are those which are absolutely essential for the continued operation of your agency.

Why are they vital?

If your agency had a fire, how long would it take to reconstruct the information you would need to continue doing business and how much would it cost? How much employee time would be required, and what would that time cost? Can you even assign a dollar value to the aggravation and to the negative impact on your customers?

Ways to protect your hard copy vital records:

- Scan these records and store a backup copy off site – preferably in another city.
- Have them microfilmed by an approved vendor.
- Store vital records which are not currently active at the State Records Center.
- Store active vital records in a fireproof vault.
- Use fireproof cabinets for active vital records (Note: Simply using a fireproof safe or cabinet designed for important papers is not enough. Paper will begin to char around 400°F. Magnetic tapes become unreadable at much lower temperatures than paper ignites, so you want to purchase a safe or cabinet that prevents internal temperature from rising above 125°F for at least 1 hour during exposure to fire at 1500°F.

To protect your vital digital records:

- Make sure they are stored on a file server, not on PC hard drives, so that they will be backed up regularly.
- Keep the software used to access your vital digital records as up to date as possible. After any major software update, such as going to a new version of the product, make sure your older vital records continue to open without problems.

Be very careful of software products not specifically approved for agency use. When in doubt, always contact your agency's IT support or HelpDesk.

IF DISASTER STRIKES

Fire, flood, explosion or any other non-computer virus disaster:

Call the Maine State Archives Safety Officer: 287-5795

If you discover a computer virus

1. STOP using your machine IMMEDIATELY! Do not try to fix the problem yourself.
2. Call the Office of Information Services Help Desk at 624-7700, or your own agency's Help Desk if you have one that is separate from OIT.
3. Leave the screen as it is, so the person who responds can see exactly what you saw.

Off-site storage of backups is a strong defense against two serious threats, physical theft and natural disaster. Information services staff makes sure all State of Maine servers are backed up daily, so – once again – store your files on a server! Not on your PC's hard drive, which is the default storage location for most programs (Microsoft Office included)!

GLOSSARY

Active Records: Records that are referred to more than once a month per file drawer. They are normally maintained within the agency of record.

Administrative Value: That usefulness of a record which is determined by the minimum length of time required to have the record or record series available in the agency office for the conduct of day-to-day operations; generally, administrative value is inherent through program or project completion or the completion of a business transaction.

Agency of Record: The office responsible for maintenance and disposal of the records it creates and receives in performing its official functions.

Archives: The facility designated as the repository for the preservation of permanent records of the State of Maine. The State Archives is responsible for selecting, preserving and making available archival records.

Attachments: All files that can be joined to an e-mail message, and transmitted with it from sender to recipient. Types may include, but are not limited to: Word processing documents; spreadsheets; databases and "snapshots" from databases; images.

Confidential Records: Those records which are not generally available for examination by the public as stipulated by state or federal legislation or regulations.

Cubic Foot: A standard measure of volume for records, 12 inches high, 12 inches thick. The volume of records that will fill a standard records storage box.

Digital Records: Records created using computer hardware and software, that can only be retrieved and read by using a hardware/software combination.

Disposition: The various actions taken with records, normally after they become inactive. These actions include reproduction on microfilm, transfer to the State Records Center for temporary storage, transfer to the State Archives for permanent preservation, and destruction.

Electronic Records: Records that cannot be read without the use of electronic equipment. Electronic records include both digital (computer) records, and analog records such as nondigital audio and video recordings.

Evidential Value: The usefulness of records which document the history of an agency's organization and function. It may also describe data necessary for legal purposes.

File Arrangement: The manner in which a record series is organized in a file, e.g. alphabetically, numerically, chronologically.

Fiscal Value: That value of a record which is determined by state and/or federal audit requirements or by the informational value relating to financial transactions and obligations of the agency.

Forms Management: The function that establishes standards for the creation, design, analysis, and revision of all forms within an organization and assures that they are designed, produced, and distributed economically and efficiently

Frequency of Referral: The number of times a record series is referenced during normal business activities. Daily? Weekly? Once a month? Once a year, or rarely if at all?

General Retention Schedules: Disposition schedules which apply to all offices within a particular branch of state government. They are prepared for records which are common to most agencies.

Historical Value: The long-term value of a record to scholars or to posterity, as determined by the Archives Advisory Board and the State Archivist.

Inactive Records: Records which are no longer referred to in the conduct of current business. They are normally transferred to the Archives if permanently valuable, or destroyed if no longer of value to the State of Maine.

Informational Value: The value of a record that provides unique and permanent information for purposes of research; relates to archival record analysis.

Lawful Custodian of Records: The head of a state department, office commission, board, or other unit of state government, or his/her authorized deputy, or the custodian to whom the records were transferred pursuant to law.

Legal Size: A standard paper size, 8 1/2 X 14, or a container capable of holding legal size papers or records.

Legal Value: That value of a record which is determined by statutory provisions of Maine State Statutes, Federal Code of Regulations, and any other applicable provisions or the value inherent in records that provide legal proof of a business transaction.

Letter Size: A standard paper size, 8 1/2 X 11 inches, or a container capable of holding letter size papers or records.

Metadata: Data about data. Specifically, for the purposes of State of Maine electronic records management, data concerning an electronic record's creation (creator and date of creation), transmission, editing, viewing, and any other details captured by the particular system being used to create, transmit, and store that record.

Microfilm: A high resolution film containing an image greatly reduced in size from the original; the recording of microphotographs on film.

Micrographics: A term applied to the uses of microimage recording, retrieval, and reproduction technologies in an information system.

Monitoring: Checking the electronic files maintained by state agencies to verify compliance with state records management standards.

Non-Record: A convenience copy such as a reading file, unofficial copies kept for reference, stocks of publications, blank forms, and non-government related publications. Also, personal records such as e-mail messages unrelated to State of Maine business.

Permanent Record: Records considered to be so valuable or unique in documenting the history of an agency that they are designated for preservation in the Maine State Archives.

Pre-Archival Records: Records scheduled for preservation in the Maine State Archives, but currently stored in Records Center status.

Public Records: The original and all copies of any paper, correspondence, form, book, photograph, photostat, film, microfilm, sound recording, map drawing or other document, regardless of physical form or characteristics, which have been made or received in transacting public business by the state, a political subdivision, or an agency of the state. *(For the complete legal definition, see Title 1, §402.)*

Purging: Removal of individual papers, folders, or groups of folders from a larger group of records, usually to permit disposal of parts of the group and retention of the selected portions. Eliminating material before it is stored.

Records: All books, papers, photographs, maps, or other documentary materials, regardless of physical form or characteristics, made or received in connection with the transaction of public business, which are maintained because they serve as evidence of the functions, policies, decisions, procedures, operations and other activities of state organizations or because of informational value contained therein.

Records Inventory: An identification and description of all of the records possessed by an organization.

Records Management: That function of administrative management and business operations concerned with the creation, protection, retention, retrieval, and preservation of records and recorded information required for the continuance of operations.

Records Officer: An employee appointed by the director or administrator of a state agency to represent the agency in records management matters and to function as a liaison between the agency and the Division of Records Management Services of the Maine State Archives.

Records Retention Schedule: A timetable that identifies the length of time that a record must be retained in active and Records Center status before final disposition, either through destruction or transfer to Archives.

Records Retrieval: The process of locating and delivering records for agency use.

Records Series: A group of identical or related records that are normally used and filed as a unit.

Security Microfilming: The process of filming documents while continuing to retain the original documents. The film serves as a back up to the original. This procedure is usually applied to records judged to be vital to an agency's operation.

Semicurrent Records: Records that, on average per cubic foot, are referred to only once or twice a month. These records should be sent to the State Records Center.

Shredding: The destruction of documents and microfilm by mechanical shredding, pulping, or beating to render them illegible and beyond reconstruction.

State Records Center: The facility designed for the organized storage of inactive (semicurrent) records retained for administrative or legal purposes.

State Records Management Standards: Requirements included in the Archives and Records Management Law (Title 5, Chapter 6, §95); in rules adopted by the Maine State Archives under the Administrative Procedures Act; and in retention schedules approved by the State Archivist.

Transfer: The movement of records from one location or custodian to another, usually moving records from the active files to inactive files or from agency office space to a records center or an archival establishment.

Unscheduled Records: Records or record series for which no decision on disposition has been made and which must be preserved until legal authority on disposition has been approved.

Vital Records: Records which are absolutely essential to continue and/or reconstruct the operations of a state agency or office subsequent to an emergency arising from enemy action or a natural or man-made disaster such as flood, fire, tornado, riot, explosion, etc.; those records which are necessary to recreate the agency's legal and financial position and to preserve the rights of the agency, its employees, and the general public.

Working Papers: Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents.

CONTACT INFORMATION

Director of Records Management Services, Tammy Marks 287-5799

Scheduling & Consulting, Felicia Kennedy 287-5798

Records Center***, 101 Water St Hallowell..... 287-3627

Records Research & Retrieval

Records Center Supervisor, Rob Caron 287-5792

Office Associate II, Bill Towne 287-3627

Transfers/pickups

Records Center Supervisor, Rob Caron 287-5792

Office Associate II, Bill Towne 287-3627

***If the Records Center phone is not answered, please call 287-5792.



Maine State Archives
 84 SHS, Augusta, ME 04333-0084
 Tel. (207)287-5792 Fax (207)287-6035

Application for Records Retention Schedule

Department	Bureau/Division	Date
Agency Records Officer	Mailing Address	Telephone Number

Certificate of Agency Representative:

I hereby certify that I am authorized to act for this agency in matters relating to the disposal of its record series as described in this Records Retention Schedule. These records will not be needed for current business after the retention period(s) specified.

Date	Signature of Agency Records Officer
------	-------------------------------------

☐ New Schedule ☐ Amendment to Existing Schedule

If amendment, please indicate reason:

☐ Change in retention (please give justification)

☐ Other (describe)

Series No. (if Amended)	Series Title	Media Type*	Retain in Agency**	Retain in Center**	Total Retention Period	Destroy or Archives	Action Taken (Leave Blank)

*See Inventory Form for media examples. **Give amount of time in agency and in Records Center (i.e. no. of years, contingent upon event, less than one year, permanent, etc.)

Maine State Archives Use Only

Notification to Agency:

This Records Retention Schedule is approved except as noted in the "Action Taken" column.

Agency No.	Schedule No.
Date	Signature of State Archivist

MSA/RM 22/R.ev. 062012



MAINE STATE ARCHIVES

Records Center

84 State House Station, Augusta, ME 04333-0084

Tel. (207)287-5792 Fax (207)287-6035

RecordsCenter.Archives@Maine.gov

REQUEST FOR REFERENCE SERVICE

Executive or Judicial Agency			Date of Request	
Files Requested (file name and/or file number):			Box No.	Location No.
Name of Requestor	Access Card No.	Telephone	FAX	E-Mail
<input type="checkbox"/> Mail file requested to the address listed here:				
<input type="checkbox"/> Hold for pickup and call this number when file becomes available:				
File requested by: <input type="checkbox"/> Fax <input type="checkbox"/> Visit <input type="checkbox"/> Mail <input type="checkbox"/> E-mail <input type="checkbox"/> Telephone				
Type of Record: <input type="checkbox"/> Paper <input type="checkbox"/> Magnetic Tape <input type="checkbox"/> Microfilm <input type="checkbox"/> Microfiche <input type="checkbox"/> Other (please specify)				

MSA/RM RRS/Rev. 062012

Maine State Archives

84 SHS, Augusta, ME 04333-0084

Tel. (207)287-5792 Fax (207)287-6035

For Maine State Archives Use Only

Page 1 of

Agency No.

Transmittal No.

TRANSMITTAL OF RECORDS

Department		Bureau		Division		
Person to contact		Telephone	Location (building, floor, room)			
Mailing address			Retention (to be inserted by RM staff)			
Restrictions on access		Authority		These records are retained by (please check one): Calendar Year <input type="checkbox"/> (1/1 – 12/31) State Fiscal Year <input type="checkbox"/> (7/1 – 6/30) Federal Fiscal Year <input type="checkbox"/> (10/1 – 9/30)		
Schedule No.	Series No.	Media	Series Title (See Records Disposition Schedule – use same title)			Are all records included closed and inactive?
Location (leave blank for RM use)	Agency Box Identifier	First Item	Last Item	First Date	Last Date	Final Dispo. (leave blank for RM use)
Signature of Records Officer (if e-mailed from a State address, typed name will be sufficient):			Date	Received by (Maine State Archives):		Date

MSA/RM 33/Rev. 052012



Maine State Archives
 84 State House Station, Augusta, ME 04333-0084
 Tel. (207)287-5790 Fax (207)287-6035

RECORDS MANAGEMENT EXPENDITURE REQUEST

Department	Bureau\Division	Agency No. <i>(per State Budget Office)</i>	Date
Person to Contact	Tel. No.	Mailing Address	
Equipment or services requested <i>(indicate quantity and type of equipment, supplies, or services; please be specific)</i>			
Title(s) of Record Series to be stored, filmed, or imaged <i>(use same wording as on applicable retention schedule, please):</i>			Schedule No.
			Series No.
If no schedule has been approved for the above records, an APPLICATION FOR RECORDS RETENTION SCHEDULE (RM22), RECORD SERIES INVENTORY (RM59), and samples of the records must accompany this form.			
Justification:			
Signature of Records Officer or Agency Head <i>(may be typed if submitted from a State e-mail address)</i>			Date
FOR MAINE STATE ARCHIVES USE			
This request has been reviewed by the Maine State Archives for need and feasibility. The proposed procurement is: <div style="text-align: center;"> <input type="checkbox"/> Recommended <input type="checkbox"/> Not Recommended </div>			
Approval of request does not constitute authority to destroy State records			
Director, Records Management Services			Date