



Vermont State Archives and Records Administration

Office of the Secretary of State

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TRANSFERRING PAPER AND ANALOG RECORDS

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(Procedure VSARA0008)

I. OVERVIEW/DESCRIPTION

The Vermont State Archives and Records Administration (VSARA) provides low-cost, secure repositories and systems for public records, regardless of format, that are managed and operated in a manner that supports compliance with generally accepted record-keeping principles, industry standards, best practices, and the Vermont Public Records Act. For analog and paper (non-digital) records, VSARA manages and operates the State Records Center and the State Archives Vaults, and for digital permanent (archival) public records, VT Re·tain. This procedure is for transferring paper and analog records to the State Records Center and the State Archives Vaults.

State Records Center

The State Records Center provides low-cost, secure storage for analog and paper (non-digital) State public 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. For records stored in the State Records Center, both legal control and control of access to the records are retained by the transferred agency until the records are either transferred to the State Archives Vaults (see below) or destroyed in accordance with an approved record schedule. Services of the State Records Center are available to all three branches of Vermont state government and include box pick-up, storage, file retrievals, and destruction. Records officers are accountable for the processing of public record requests for records in the State Records Center.

State Archives Vaults

The State Archives Vaults serve as the permanent repository for analog and paper (non-digital) State public records appraised as permanent (archival) on approved record schedules. For records transferred to the State Archives Vaults, legal control and control of access to the records are relinquished by the transferring agency to VSARA. The State Archives Vaults are available to all three branches of Vermont state government and services include box pick-up, permanent storage, and archival preservation. The State Archivist is accountable for the processing of public record requests for records in the State Archives Vault.

II. AREAS OF RESPONSIBILITY

Records Liaison: Carries out records and information management functions, as delegated by a records officer, within a division or district office of a public agency.

Records Officer: Oversees the records and information management program for his or her respective public agency and the processing of public records requests in accordance with the Vermont Public Records Act.

VSARA Records and Information Management Specialist: Assists public agencies with their internal records and information management program and managing public records and information in accordance with their record schedules.

VSARA Repositories Supervisor: Manages the transfer of analog and paper (non-digital) State records from records officers and records liaisons to the State Records Center and State Archives Vaults and supervises the services provided by each repository.

III. DEFINITIONS

Enterprise repositories and systems: Low-cost, secure repositories and systems for public records, regardless of format, made available at an enterprise or statewide level and managed and operated in a manner that supports compliance with generally accepted record-keeping principles, industry standards, best practices, the Public Records Act, the Statewide Records and Information Management Program, and, where applicable, 3 V.S.A. § 218 (3 V.S.A. § 117).

Public record: Any written or recorded information, regardless of physical form or characteristics, which is produced or acquired in the course of public agency business (1 V.S.A. § 317).

Records and information management: The efficient and systematic control of the creation, receipt, maintenance, use, and disposition of public records, including the processes for capturing and maintaining evidence of, and information about, public agency business activities and transactions in the form of public records (3 V.S.A. § 117).

Records liaison: An individual appointed at the division level by a records officer to carry out records and information management functions, as delegated, within a division or district of a public agency.

Records officer: An individual designated as records officer to oversee the records and information management program for his or her respective public agency and the processing of public record requests in accordance with the Vermont Public Records Act.

Record schedule: A policy issued by the Vermont State Archives and Records Administration and approved by the State Archivist governing the life cycle management, retention, and disposition of public records. (3 V.S.A. § 117).

Statewide records and information management program: Program administered by the Vermont State Archives and Records Administration for all public agencies in accordance with generally accepted record-keeping principles and industry standards and best practices. (3 V.S.A. § 117).

IV. PROCEDURE STEPS/CHECKLIST

A. Records Officer or Records Liaison

1. Reviews records suggested for transfer to the State Records Center or State Archives Vaults and confirms the records:
 - i. Have been formally appraised and are listed on a record schedule issued by the Vermont State Archives and Records Administration and approved by the State Archivist;
 - ii. Have a series/schedule ID established in the State Records Center or State Archives Vault for transfers¹;
 1. If transferring records for the first time or the first time under a record schedule, contacts a VSARA Records and Information Management Specialist for further assistance (sos.rim@vermont.gov).
 - a. A schedule ID must be established prior to transfer.
 - iii. Are original and not duplicated or maintained in another format elsewhere;
 - iv. Are complete and not part of an ongoing case or activity;
 - v. Have been weeded in accordance with the record schedule (where applicable); and
 - vi. If being transferred to the State Records Center, have not met the retention requirements listed on the record schedule and are not eligible for destruction until at least 36 months after transfer at the earliest²; or
 - vii. If being transferred to the State Archives Vaults, have met the retention requirements listed on the record schedule and are at least 36 months old at time of transfer (unless otherwise specified by law).
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);
 - ii. File folders or other paper-based separators are clearly labeled; and
 - iii. An external index of the files in each box exists, preferably in electronic format, for retrieval and access.
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 VSARA Repositories Supervisor prior to the transfer and consist of unique identifiers composed of an alphabetical agency/department prefix and a five (5) digit number (e.g. TX-00352).

¹ State agencies and departments using disposition orders issued prior to 2008 (under the prior law) for transfers to the State Records Center may continue to do pursuant to 3 V.S.A. § 218(e); however, after twenty-four (24) months of inactivity, disposition orders are discontinued, and a record schedule is required for any new box transfers.

² It is not cost-effective to transfer records that are eligible for destruction less than 36 months from the date of transfer. Records officers with extenuating circumstances are advised to contact a VSARA Records and Information Management Specialist for further assistance (sos.rim@vermont.gov).

1. Contact the Supervisor at sos.recordscenter@vermont.gov or 828-3280 to request box numbers.
 - ii. Paige Miracle boxes have been acquired and are ready for packing.
 1. For new boxes, the W. B. Mason order number is #PAIG15.
 2. For used boxes, VSARA has a limited supply in stock that are good condition and may be re-used for new transfers.
 - a. Contact the VSARA Repositories Supervisor to inquire about availability of used boxes for pick-up.
 - iii. The records are boxed in accordance with the record schedule and each box is clearly labeled with both the series/schedule number and the box number.
 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/schedule number are not boxed with records from another series/schedule number.**
 - 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. If transferring records to the State Records Center, repository 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 records officer or records liaison 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 VSARA Repositories Supervisor has received and approved:
 1. Box transfer lists:
 - a. Box Transfer List (Form VSARA-05) for State Records Center transfers only³; or
 - b. Box Transfer List (Form VSARA-31) for State Archives Vaults transfers only or the boxes,
 2. Forms VSARA-05 and VSARA-31 must be completed electronically and submitted in their original Excel format.
 3. Box titles should be brief but concise and 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.
 - i. An external index of the files in each box exists, preferably in electronic format, should exist for retrieval and access.

³ See Procedure VSARA0012, Using the State Records Center Web Module, for more information on using the module instead of Form VSARA-05 for box transfers to the State Records Center.

- 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.
- ii. The VSARA Repositories Supervisor has received and approved a Records Pickup Request (Form VSARA-04) or Records Delivery Request (Form VSARA-28).
 - 1. Agencies using the BGS Postal Center should:
 - a. Use Form VSARA-04 to request records to be picked up by the BGS Postal Center.
 - 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. Agencies 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 external index of the files has been updated with box information prior to transfer.
 - 1. This index, if transferring records to the State Archives Vaults, must be provided to VSARA along with Archives Box Transfer List (Form VSARA-31).

B. VSARA Repositories Supervisor

- 1. Upon receiving a request for new box numbers:
 - i. Confirms the individual making the request is a designated records officer or appointed records liaison.
 - ii. Confirms series/schedule ID established in the State Records Center or State Archives Vault for transfers
 - iii. Allocates the next range of available box numbers to the agency 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.
 - iv. Documents the box numbers that have been allocated.
- 2. When a Box Transfer List (if Versatile Web Module is not used) and Records Pickup Request or Records Delivery Request are 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, Form VSARA-31, or through the Versatile Web Module (*State Records Center only*) 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. VSARA 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 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 or State Archives Vaults.

V. GETTING HELP

The Vermont State Archives and Records Administration (VSARA) provides training, assistance and services to public agencies, designated records officers and appointed records liaisons. For assistance, please contact:

- VSARA Repositories: sos.recordscenter@vermont.gov or 802-828-3280
- VSARA Records and Information Management: sos.rim@vermont.gov or 802-828-3897

VI. APPLICABILITY AND AUTHORITY

The State Archivist and Chief Records Officer is the statutory authority for the Statewide Records and Information Management Program, which includes operating a records center to hold inactive analog and paper State public records in accordance with record schedules and to taking legal custody of State archival records, regardless of format, in accordance with record schedules.

This procedure for transferring analog and paper records to the State Records Center and State Archives Vaults. This procedure was first approved by the State Archivist and Chief Records Officer on December June 23, 2009, and last reviewed and approved by the State Archivist and Chief Records Officer on January 4, 2022. The next review date is January 2024, or sooner at the discretion of the State Archivist and Chief Records Officer.

VII. REVISION HISTORY

Date	Revisions
2022-01-04	Expanded to include the State Archives Vaults with minor adjustments to language.
2018-06-28	Updated definitions for Records Management and Record Schedule to bring in line with Act 100 changes to 3 V.S.A. § 117.
2018-03-09	Updated email addresses to @vermont.gov due to email migration and revised "Getting Help" section.
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.