

NUMBER

83

Using the
State
Records
Center
2009

*The University of the State of New York
The State Education Department
New York State Archives
Government Records Services
Albany, New York 12230
<http://www.archives.nysed.gov>*

THE UNIVERSITY OF THE STATE OF NEW YORK

Regents of The University

MERRYL H. TISCH, <i>Chancellor</i> , B.A., M.A., Ed.D.	New York
MILTON L. COFIELD, <i>Vice Chancellor</i> , B.S., M.B.A., Ph.D.	Rochester
SAUL B. COHEN, B.A., M.A., Ph.D.	New Rochelle
JAMES C. DAWSON, A.A., B.A., M.S., Ph.D.	Plattsburgh
ROBERT M. BENNETT, <i>Chancellor Emeritus</i> , B.A., M.S.	Tonawanda
ANTHONY S. BOTTAR, B.A., J.D.	Syracuse
GERALDINE D. CHAPEY, B.A., M.A., Ed.D.	Belle Harbor
HARRY PHILLIPS, 3rd, B.A., M.S.F.S.	Hartsdale
JOSEPH E. BOWMAN, JR., B.A., M.L.S., M.A., M.Ed., Ed.D.....	Albany
JAMES R. TALLON, JR., B.A., M.A.	Binghamton
ROGER B. TILLES, B.A., J.D.....	Great Neck
KAREN BROOKS HOPKINS, B.A., M.F.A.....	Brooklyn
CHARLES R. BENDIT, B.A.	Manhattan
BETTY A. ROSA, B.A., M.S. in Ed., M.S. in Ed., M.Ed., Ed.D.	Bronx
LESTER W. YOUNG, JR., B.S., M.S., Ed. D.	Oakland Gardens
CHRISTINE D. CEA, B.A., M.A., Ph.D.	Staten Island
WADE S. NORWOOD, B.A.	Rochester

PRESIDENT OF THE UNIVERSITY AND COMMISSIONER OF EDUCATION

RICHARD P. MILLS

COUNSEL AND DEPUTY COMMISSIONER FOR LEGAL AFFAIRS

KATHY A. AHEARN

CHIEF OPERATING OFFICER

DEPUTY COMMISSIONER FOR THE OFFICE OF MANAGEMENT SERVICES

THERESA E. SAVO

DEPUTY COMMISSIONER FOR CULTURAL EDUCATION

JEFFREY W. CANNELL

ASSISTANT COMMISSIONER FOR NEW YORK STATE ARCHIVES

CHRISTINE WARD

DIRECTOR OF OPERATIONS

KATHLEEN D. ROE

DIRECTOR, GOVERNMENT RECORDS SERVICES

GEOFFREY A. HUTH

The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Portions of this publication can be made available in a variety of formats, including braille, large print or audio tape, upon request. Inquiries concerning this policy of nondiscrimination should be directed to the Department's Office for Diversity, Ethics, and Access, Room 530, Education Building, Albany, NY 12234.

Table of Contents

Introduction	1
General Information.....	2
Transferring Records to the SRC	3
Transferring Other Media.....	9
Access Procedures.....	11
Disposition of Records	13
For More Information and Assistance.....	15
Appendix A: Records Center Transfer List (REC-1) and Continuation Sheet (REC 1A)	16
Appendix B: Instructions for completing a Records Center Transfer List (REC-1) and Continuation Sheet (REC-1A).....	18
Appendix C: Records Center Reference Request (REC-2).....	21
Appendix D: Instructions for Completing a Records Center Reference Request (REC-2).....	22
Appendix E: Records Center Interfile Transmittal (REC-8) and Instructions for Completing a Records Center Interfile Transmittal (REC-8)	23
Appendix F: Records Withdrawal Authorization (REC-10)	24
Appendix G: Instructions for completing a Records Withdrawal Authorization (REC-10)	25
Appendix H: Records Disposition Notification.....	26
Appendix I: Information on the State Records Center Wastepaper Contract.....	27

.....

Introduction

The New York State Records Center (SRC), operated by the New York State Archives, provides efficient, low-cost, inactive records storage and retrieval for New York State agencies. Located in Building 21 at the Governor W. Averell Harriman State Office Building Campus in Albany, the SRC has been serving state agencies since 1967.

SRC services available to state agencies include

- climate-controlled storage equipped with water sprinkler systems
- vault storage equipped with CO₂ and Halon fire suppression systems
- reference retrievals and document refiling
- destruction services for inactive paper records
- secure storage for special media (including computer tapes and microfilm masters)

The records you store at the SRC remain in the legal custody of your agency. Access to records is limited to your Records Management Officer (RMO) and to staff authorized by the RMO to have access rights. According to the Regulations of the Commissioner of Education, every state agency must have an RMO, who is charged with planning, promoting, and monitoring your agency's records management program in consultation with agency program managers and staff of the State Archives.

The State Archives encourages state agency RMOs and other interested staff to schedule a tour of the SRC to see the facility firsthand and to discuss how your agency can take advantage of its services. For more information, contact:

**State Records Center
Building 21, State Office Campus
Albany, NY 12226
(518) 457-3171 or (518) 457-1040
Fax: (518) 457-2009
records@mail.nysed.gov**

.....

General Information

Please follow the policies and procedures outlined in this guide. Your RMO is responsible for ensuring your staff members know these policies and procedures and any subsequent revisions.

Hours of Operation

With the exception of state holidays, the SRC is open Monday through Friday from 8:00am to 4:00pm.

Access Restrictions

Access to your agency's records is limited to your RMO and other staff members authorized by the RMO to have access. To ensure the security of your records, your RMO should

- make information about agency records stored at the SRC available only to authorized personnel
- indicate on your transfer list any additional access restrictions your agency wishes to apply
- contact us in writing if we must make records available to someone outside your agency

Following the Regulations of the Commissioner of Education, we will immediately notify your RMO in the event the SRC is served with a subpoena, a request for certification of authenticity, a written request for access to records, or any legal process that relates to your records. Your agency will then be responsible for responding to that order.

Emergency Access to Records

If an emergency occurs outside the SRC's normal hours of operation, you may arrange access to records through the Division of State Police (DSP) Security Services dispatcher at (518) 474-5330. DSP maintains a roster of emergency contacts in the State Archives.

Storage Charges

Fees for storing state agency records are specified in the Regulations of the Commissioner of Education, effective February 5, 2009:

Fees for records center facility storage will be calculated based on the average monthly holdings of the records center facilities at \$2.90 per item. An item is defined as a cubic foot for storage of paper records; a cartridge, tape or disk for storage of computer or other magnetic and optical media; a reel or equivalent microform for storage of microfilm; or other item handled.

.....
There are no fees for the retrieval, delivery, and refiling of paper records, computer tapes, and microfilm. The rate above is subject to change.

Your bill will also include the annual indirect fee for State Archives records management advisory services, which was established in the Regulations of the Commissioner of Education. This fee is based on the total volume of records in your agency's custody. Please note that the SRC cannot bill program units individually.

To set up an account for our services, your RMO must provide the State Archives with your agency's name and address, and the name, title, unit, e-mail address, and phone number of the person responsible for processing payment of the agency's records management fees.

Transferring Records to the SRC

According to the commissioner's regulations, no agency shall destroy, transfer custody of, destroy the means to access, or otherwise dispose of any records without first having secured a records disposition authorization (RDA) from the State Archives or a predecessor agency.

Paper Records

You can transfer paper records to the SRC only if

- the State Archives has approved an existing RDA or you have worked with State Archives staff to develop an RDA that designates a minimum retention period for records or provides for some other disposition (e.g., transfer to the State Archives)

and

- the records are inactive (those records that you use infrequently—usually less than once a month per file drawer—but that you must retain for a period of time already specified in a State Archives-approved RDA)

If records are contaminated (with mold, asbestos, or vermin, for example) or harmful in any way, it is your responsibility to resolve the problem before transferring records to the SRC. If you need advice on remediation or abatement services, contact the State Archives' Government Records Services unit at (518) 474-6926.

Many state agencies anticipate a change or reduction in their inactive storage space because they are relocating or reconfiguring their offices. If you are in this situation, we strongly suggest that you plan for the transfer of records to the SRC at the same time you begin planning for a change or reduction in storage.

.....
Before transferring records to the SRC, inform SRC staff about the impending need to store records there, so they can review your transfer lists and arrange for transfer when space is available.

Inform us in writing about any revisions to RDAs that affect records stored in the SRC. Provide a transfer list number, the affected box numbers, the RDA number, and new disposition dates.

In addition, when transferring records to the SRC, you must

- verify and indicate on a transfer list that the records have a minimum of twelve months remaining on their retention periods
- box, label, and palletize your records according to the guidelines listed under “Transferring Records to the SRC”

State agencies located outside the Capital District must also arrange delivery of their records to the SRC.

Special Media

The SRC offers climate-controlled vault storage for special media (magnetic tapes and optical media), regardless of whether the records they contain are inactive. Many state agencies choose to store backups of their critical systems at the SRC as a security and disaster management measure. For specific instructions on preparing special media for transfer, see “Transferring Other Media.”

Preparing Paper Records for Transfer

Please follow these instructions for paper records you intend to transfer to the SRC. The SRC reserves the right to return containers that have not been packed properly:

- Weed out and dispose of duplicate copies and blank forms. We do not store duplicates, reference copies, and blank forms, since these are not records.
- Review the filing sequence in each container for accuracy before shipping. Keep files in the same order they were in as active office files.
- Remove all non-recyclable materials prior to transferring records. The SRC will not accept non-recyclable materials because they waste storage space and pose serious problems during disposition. A list of non-recyclable materials is included in “Information on the State Records Center Wastepaper Contract” in Appendix I.
- You may leave files in manila folders, since the folders are recyclable.
- Remove all hanging file folders as you box records for transfer.

-
- Insert charge-out cards for any out-of-file records, and leave enough empty space in the container to re-insert the records. Do not use an empty container to hold space for a full container you plan to send later.
 - Do not transfer containers that weigh over thirty-five pounds or are overfilled.
 - Ensure that you can easily put your hands into the handhold openings, retrieve and refile folders, and secure the box lid.

Records Containers

Standard Records Containers

The SRC must limit the amount of space devoted to non-standard containers. Generally, we will accept only standard, cubic-foot containers (measuring 15"x12"x10") that have shoebox lids and handhold openings. These containers can accommodate either legal- or letter-sized records.

Non-Standard Containers

The SRC will accept non-standard containers only when

- the size and type of records clearly require the use of non-standard containers
- space is available for storing these containers

If you need to use non-standard containers, provide an empty, sample container to the SRC for approval before transferring the records.

Used Containers

Used containers in good condition are allowed if you remove or obscure the old SRC barcode label, shelf location, and agency information. Used containers are available from the SRC at no cost.

Purchasing Containers

You may buy standard containers from the New York State Industries for the Disabled (NYSID), 155 Washington Avenue, Suite 400, Albany, New York 12210; (518) 463-9706; fax: (518) 455-0315.

Please contact the SRC for more information if you are unable to find appropriate non-standard containers for certain records.

.....

Labeling Containers for Transfer

Scannable barcode labels are an integral part of the SRC's database management system, permitting faster and more efficient storage and retrieval of boxes. Your RMO is responsible for requesting barcode labels from the SRC and distributing them to appropriate agency staff. You can use the barcode number (the six-digit number in the center of the sample barcode label illustrated below) to track your records in the SRC.

Place one barcode label below a handhold opening on each box. You must add your agency information to the barcode information, using one of the following methods:

1. Manually add the required agency information directly in the blank space on each barcode label. This information consists of the two-digit agency number (the number in the upper left corner in the sample below) and the transfer list number (the number in the upper right corner). Your RMO can provide you with the agency number and transfer list numbers.



or

2. Create a separate set of word-processed labels that contain the transfer list number and the two-digit agency number. Put a barcode label below this agency information label below a handhold opening on each box.

In either case,

- affix the barcode label directly to the box. Do not cover over another box label.
- do not add any information to the box label other than an agency control number (see next section)
- do not put any tape (even clear) over the label
- do not write on the barcode itself, because the scanner will be unable to read the code

.....

Agency Control Numbers

Although it is not necessary to use box numbers other than those on the barcode labels, a second, simple numbering system will provide us with an alternate means of searching the SRC database. Number all of your boxes sequentially, starting with 1 and ending with whatever number corresponds with the final box in your shipment.

Transfer Lists

To request a transfer of records to the SRC, complete form REC-1, "Records Center Transfer List," and, if necessary, REC-1A, "Continuation Sheet." These forms are available in Appendix A, and instructions for completing them are in Appendix B. The forms and instructions are also available on the State Archives' website at <http://www.archives.nysed.gov/>

Your RMO must review the completed transfer lists for accuracy, clarity, and completeness before submitting them to the SRC. When preparing transfer lists, be sure to

- prepare a separate transfer list for each size of records storage container in a shipment
- limit each transfer list to records covered by a single RDA and disposition date, if possible. If this is not possible, list containers first by RDA number and then by disposition date, in ascending order.
- limit the contents of each container to records that became inactive within one year of each other, if possible
- limit a transfer list of standard-sized containers to a maximum of forty containers
- identify the record medium if other than paper

Preparing Containers for Transport

Ensure your staff members fully understand and follow the procedures below for preparing containers of records for transfer:

- Arrange containers on pallets by transfer list and in numerical order.
- Use pallets measuring either 36"x42" or 40"x48".
- Place containers on pallets with box labels facing outward.
- Limit the number of containers on a pallet to forty, with five layers of boxes to each pallet and eight containers to each layer.
- Arrange boxes in the following manner:



Front View



Side View

- Wrap the containers with stretch-wrap to secure them during transit. You may obtain stretch-wrap from your mailroom or through your purchasing unit.
- If your containers are not on pallets, you will be responsible for loading and arranging them onto pallets or carts at the SRC.

We reserve the right to refuse improperly loaded pallets. Overloading may result in damage to boxes on the bottom level and injury to SRC employees. Pallets with more than forty containers will not fit onto the SRC's truck.

Moving Containers to the SRC

After we receive and review your transfer list, we will contact your RMO to resolve any questions and arrange a transfer date once space is available. We will accept or transport only those records that we have approved for storage on a given transfer date.

The SRC will provide transportation services for Capital District agencies that cannot deliver their records. You are responsible for moving your containers to your loading dock and providing loading assistance. Inform OGS Security about the scheduled pickup so that SRC staff will be allowed to enter the building and move records from the loading dock to the SRC truck.

If you are arranging delivery of your own records, use a truck measuring no more than 12' 6" in height, since vehicles over that height will not fit through the SRC's loading dock doors. If necessary, check with OGS and commercial carriers to be sure their trucks have the appropriate dimensions.

The SRC will accept deliveries of records from Monday through Friday between 8:00am and 12pm, and from 12:30pm to 3:30pm.

.....

Transferring Other Media

Preparing Microfilm for Transfer

The SRC stores microfilm copies of permanent and long-term records in microfilm cabinets in one of its fire-resistant vaults. We store microfilm copies of records with short-term retention periods in standard records storage containers in the SRC's main warehouse.

The following instructions for handling microfilm pertain only to rolls of camera-original, silver master microfilm copies of permanent or long-term records. Be sure to box microfilm copies of records with short-term retention periods in standard records storage containers, and label them as you would other records, as described above under "Labeling Containers."

Evaluate microfilm for deterioration before you transfer it to the SRC. Deterioration of acetate-based microfilm, indicated by a vinegar smell, can spread to other microfilm stored at the SRC, so we will not accept such microfilm. For additional information about vinegar syndrome, please contact the State Archives at (518) 474-6926.

Labeling Microfilm

Label each individually boxed roll of microfilm with your SRC-assigned code and a transfer list number, roll number, and brief description of the contents of the microfilm (for example, "Director's Correspondence, 1990–1995").

Preparing Transfer Lists for Microfilm

You may use a single identifying entry for each batch of

- twenty-five rolls of 16mm microfilm
- sixteen rolls of 35mm microfilm

Or, you may list each roll of microfilm as a separate entry on the transfer list. Either way, add the following information to transfer lists:

- Size of film used for microfilming (16mm, 35mm, or microfiche)
- File sequence of the microfilmed records (alphabetical, chronological)
- Reduction ratio

.....

Moving Microfilm to the SRC

When preparing your microfilm for shipment, number the rolls and pack them in sturdy shipping containers in numerical sequence, with the highest numbers toward the bottom of the box and the lowest numbers at the top.

Preparing Computer Tapes for Transfer

Length of Storage Permitted

The SRC will not store computer tapes for longer than five years, since magnetic tape is not a permanent storage medium. Periodically review your tape holdings at the SRC to

- ensure that the information they contain warrants continued retention
- evaluate the viability of the tapes and check for possible deterioration
- verify that you still have the technological capability to access information on the tapes

Labeling Computer Tapes

Label each tape with your identifying information and a tape number.

Preparing Transfer Lists for Computer Tapes

If you might request withdrawal of computer tapes individually, list each computer tape separately. However, if you store and might withdraw computer tapes as a unit, you can list them as a unit.

Include the date the tapes are scheduled for withdrawal, the number of containers used to ship them, and the total number of tapes on all transfer lists.

Moving Computer Tapes to the SRC

When possible, the SRC will provide pickup and delivery services for computer tapes once a week. If you are using your own courier, and you would prefer that your courier pick up or deliver tapes more than once a week, please inform SRC staff.

Withdrawing Computer Tapes

To withdraw computer tapes, use form REC-10, "Records Withdrawal Authorization," provided in Appendix F. Instructions for completing the form are in Appendix G.

If you are transferring tapes that you plan to withdraw on a short-term basis, send a completed Records Withdrawal Authorization with the original transfer list when you first transfer tapes

.....
to the SRC. Otherwise, send the form to the SRC at least one week before the requested date of withdrawal.

The SRC will accommodate emergency withdrawals as necessary.

Storing Other Special Media

You must make special arrangements with the SRC to store special media formats such as microfiche, audiotapes, videotapes, compact discs (CDs), and digital virtual discs (DVDs).

Destruction of Special Media

The SRC will dispose of non-permanent microfilm when requested and authorized (see below under "Disposition of Records"). We do not, however, arrange for the destruction of magnetic tapes and optical discs (CDs, DVDs, and others). You must withdraw magnetic tapes and optical discs yourself, and arrange for their destruction elsewhere.

Transfer List Report

Once we have processed boxes on a transfer list, we will send your RMO or tape librarian a transfer list report. Your RMO or tape librarian must ensure that only agency personnel authorized to have access to the records will have access to this report. Compare information on the transfer list with that on the transfer list report, and inform SRC staff of any errors.

Access Procedures

SRC staff use a shelf code and the following information to locate and retrieve records:

- Agency number
- Transfer list number
- Container number
- File name or number

Routine Charge-Out Requests

You may make routine requests to charge out records in person or by mail by completing form REC-2, "Records Center Reference Request," provided in Appendix C (see Appendix D for instructions on completing the form). The SRC has a photocopier and reference room with tables and chairs for onsite research use. When you need to request records, be aware that

-
- SRC staff usually process routine requests within twenty-four hours in the order received
 - SRC staff will send materials through OGS Interagency Mail unless you indicate you will pick up the requested records or use them onsite
 - you will need to arrange pickup and return of records if OGS Intercity Courier does not serve your agency
 - the SRC will generally not ship records directly to you if there is a shipping charge
 - you should contact the SRC in advance to discuss additional arrangements when retrieving a large volume of records
 - we will deliver the records to your mailroom when your request consists of full containers and your agency is located in the Capital District near delivery and pickup locations for computer tapes. These deliveries and pickups are generally made once a week.

Requesting Individual Folders

We encourage agencies to request individual folders rather than entire containers.

Emergency Reference Requests

If you need records in a hurry, first notify the SRC. We generally accept a maximum of one telephone request, one e-mail request, or three completed request forms marked “emergency” for each emergency situation. You may deliver the request forms in person or by fax.

Returning Charged-Out Records to SRC

To help us refile your records properly, leave copy number three of form REC-2, “Records Center Reference Request,” attached to the outside of the records.

Method of Return

There are several ways to return charged-out files and containers of records, including

- in-person delivery of records to the SRC
- OGS Interagency Mail (for agencies in the immediate Capital District)
- OGS Intercity Courier (available to some agencies outside the Capital District)
- commercial delivery services or other methods (for agencies outside the Capital District that do not have OGS Intercity Courier service)

-
- SRC pickup (for agencies in the immediate Capital District)

We coordinate the pickup of records with the delivery or pickup of other records you have requested. We will also pick up charged-out records at the same time that we collect new transfers. Be sure to separate records that are new transfers from those you are returning.

To help us keep your records complete and accessible, return charged-out records promptly to the SRC when you no longer need them in your agency.

Keeping Charged-Out Records

If you decide to keep a container of records rather than return it to the SRC, use the form in Appendix F, “Records Withdrawal Authorization (REC-10),” to notify SRC staff. See Appendix G for instructions on completing the form. You do not need to notify the SRC if you are retaining only individual files of records.

Interfiling Records

Use the form in Appendix E, “Records Center Interfile Transmittal (REC-8),” to file records in a folder or container you are already storing at the SRC. Instructions for completing the form are also in Appendix E. We can interfile new material only if you have left sufficient space in the container.

Withdrawing Records from the SRC

To withdraw entire containers from storage permanently, submit form REC-10, “Records Withdrawal Authorization,” provided in Appendix F. Instructions for completing the form appear in Appendix G.

Resubmission of Records

If you have withdrawn records and intend to return them to the SRC, you must submit a new transfer list and initiate a new records transfer process.

Disposition of Records

SRC staff implement records disposition in one of the following ways:

- by destroying and recycling paper records under the State Records Center Wastepaper Contract (see Appendix I for information about this wastepaper contract)

-
- by destroying non-permanent microfilm
 - by transferring permanent records to the State Archives

Disposition Notification

Approximately two months before a scheduled disposition date, we will send your RMO a “Records Disposition Notification,” consisting of both a summary report and a detail report. See Appendix H for an example of the summary report section of a notification.

The summary and detail reports indicate which containers on your transfer list are scheduled for disposition. In addition, the detail report indicates whether disposition will be by destruction (code D) or by transfer to the State Archives (code A). Your RMO must review and compare information on the Records Disposition Notification to information on the transfer list.

Confirm with the SRC as soon as possible that you have received the Records Disposition Notification. The SRC does not dispose of the records on the disposition date until you confirm that you have received the notification.

Temporary Postponement of Disposition

If you want to postpone a scheduled disposition, notify the SRC in writing prior to the original disposition date, indicate which containers you need to retain longer, and specify a new disposition date.

Ideally, you should postpone a scheduled disposition only if the records are required for an audit or litigation. You can, however, temporarily postpone disposition to meet an immediate, temporary administrative need. We encourage state agencies to work with the State Archives’ Retention Scheduling Unit to amend an existing RDA if disposition needs to be postponed for more than ninety days. Contact the Archives at (518) 474-6926 for assistance.

Superseded RDAs

If you develop an RDA that supersedes a previous RDA for records stored at the SRC, notify the SRC in writing, indicating the transfer list, box numbers affected, and the new RDA number and disposition dates.

Records Disposition Confirmation

We will send your RMO a Records Disposition Confirmation after implementing records disposition. This confirmation will tell your RMO which records were destroyed.

.....

Disposition of Records from Agency Space

You can contact the SRC to arrange for its wastepaper contractor to destroy confidentially a trailer load or more of records currently in your agency and scheduled for destruction. See Appendix I, "Information on the State Records Center Wastepaper Contract," or ask your RMO for a copy of the current wastepaper contract.

Records Delivery for Disposal

If you have less than a trailer load of records or do not have appropriate loading facilities, you must deliver obsolete records directly to the wastepaper contractor or to the SRC for destruction. Send only those records that are eligible for destruction under State Archives-approved RDAs. Remove all non-recyclable materials from the records, and clearly mark "Destroy" on the containers before sending them to the SRC or to the contractor.

For More Information and Assistance

The State Archives provides records management services to state agencies and local governments. These services include technical advice and assistance, publications, training and presentations, and consultations concerning records and information management issues. The State Archives has an advisory officer for state agencies who is available for site visits and to provide advice and records management training. For further information, contact:

Government Records Services
New York State Archives
State Education Department
9A47 Cultural Education Center
Albany, New York 12230
(518) 474-6926

.....

Appendix B

Instructions for Completing the Records Center Transfer List (Form REC-1) and Continuation Sheet (REC-1A)

The “Records Center Transfer List (REC-1)” is available as a Word template on the State Archives website at www.archives.nysed.gov/

Entries should be accurate, clear, and complete. We may refuse to accept transfer lists if entries are not legible and double-spaced.

1. **Transfer List Number.** Assign each transfer list a number, using a two-digit year designation, a hyphen, and a sequential number (e.g., 06-1, 06-2, 06-3). Obtain the appropriate transfer list number from your RMO to avoid duplication.

You may assign the same blocks of transfer list numbers to particular program units or records series each year (e.g., 100 series to fiscal management, 200 series to personnel).

2. **Page 1 of page(s).** Indicate page numbers so SRC staff can confirm the list is in order and complete (e.g., page 3 of 10).
3. **From (Agency Name & Number).** Indicate your agency’s name and two-digit code (available from your RMO). Include your RMO’s address and telephone number. If you attach continuation sheets, include the RMO’s information only on the first page.
4. **Program Unit.** Include a contact name and telephone number for the unit.
5. **Label Number.** Enter the entire, six-digit number from the pre-printed barcode labels (available from your RMO) at the top of each page only. After the first line, enter only the last two or three digits to indicate the sequence of boxes.
6. **Box Number.** Begin each transfer list with number 1 for the first container and number the rest sequentially. For example, if you are transferring forty boxes, number them 1 through 40.

Do not assign letter suffixes or prefixes to containers, because the SRC uses a sequential numbering system for retrieval. If needed, include cross-reference notes on the transfer list in a given entry’s description (e.g., “See containers 27 and 28 for other records in this sequence”).

7. **Description of Records.** If records in several or all containers are covered by a single Records Disposition Authorization (RDA) and will be eligible for disposition on the same

.....
date, provide a heading for the description that includes both records series title and inclusive dates (e.g., "Director's Correspondence, 1995–2000").

When more than one RDA is involved, group containers by RDAs and provide a heading with the records series title and inclusive dates for each RDA. If the records series title is long, use a summary with key words.

Underneath the heading, provide individual container descriptions using terms that correspond to the RDAs, are easy to understand, and include only essential information. If the records series title and inclusive dates are different for each container, provide the individual titles and dates.

Descriptions should include

- inclusive file names, file numbers, and date ranges
- whether the records cover a particular type of year, such as state or federal fiscal, academic, or calendar
- a description of the event that caused the records to be inactive and that activated the retention period (such as "case closed," "contract expired," or "project completed"), including the date the event occurred
- record medium, if other than paper

Skip a line between each individual container description. If a container description requires a continuation sheet, it is not necessary to repeat the container number. If you do repeat the container number, however, write "cont'd" after the number.

The SRC enters only 72 characters (including spaces) in its database to describe the records in a container. To accommodate this limit, you may provide a summary description for a container and note that the "agency retains a detailed list."

8. **T/AR.** If the records are scheduled for transfer to the Archives, check "T/AR" on the line for that entry.
9. **Disposition (Month, Year) and Authorization Number.** Provide the disposition month and year and the RDA number for each records series.

Disposition begins on the first work day of the month that disposition is due. To ensure the entire retention period has elapsed, round up the disposition date to the first business day of the following month.

.....

Example 1:

For records dated December 10, 2000, with a six-year retention, round up the disposition date to January 1, 2007.

Example 2:

For records dated December 10, 2000, with a six-year retention corresponding to the fiscal year (which runs from April 1, 2001 to March 31, 2007), round up the disposition date to April 1, 2007.

Verify that you will store the records at the SRC for at least twelve months from the date you intend to transfer them. If this is not the case, delete that container from the transfer list and do not transfer it to the SRC.

10. **Restrictions.** Specify additional restrictions. The SRC grants access to designated staff only if they submit Records Center Reference Request forms that show storage locations identical to the locations on the transfer list report we have provided to your RMO.
11. **Agency Records Officer.** Your RMO or designee must review, sign, and date the transfer list, and provide his or her title. If you send this form electronically, the RMO or designee must include his or her name and indicate in the e-mail signature block whether he or she is the RMO or a designee. After completing the form, send it to the SRC as an official record of the request for transfer.
12. **Total Number and Size of Containers.** Enter information for standard-size containers, in groups of no more than forty containers. We routinely accept only standard-size containers (15"x12"x10"). Contact the SRC if you need to use containers of any other size.

Appendix C

REC-2 (04/05)		RECORDS CENTER REFERENCE REQUEST				RECORDS CENTER USE	
TO BE COMPLETED BY AGENCY							
1. ITEM REQUESTED (ONLY ONE)						PROCESSED BY	NOT IN CONTAINER <input type="checkbox"/>
						REMARKS <input type="checkbox"/> CHARGED OUT ON _____ TO _____	
<input type="checkbox"/> Check if requesting entire container						PRESS FIRMLY NO FELT-TIP PENS	
2. TRANSFER LIST NUMBER		3. AGENCY CONTAINER NUMBER					
4. AGENCY		5. SHELF CODE					
6. NAME (PRINT)		7. ADDRESS, TELEPHONE NUMBER, OR OTHER CONTACT INFO:					
<input type="checkbox"/> Check if will pick up							
NEW YORK STATE EDUCATION DEPARTMENT NEW YORK STATE ARCHIVES ● GOVERNMENT RECORDS SERVICES						TO: STATE RECORDS CENTER, BUILDING 21 STATE OFFICE BUILDING CAMPUS, ALBANY, N.Y. 12226	

.....

Appendix D

Instructions for Completing a Records Center Reference Request (REC-2)

Agencies must use this four-part form to make all reference requests. If you use the Word 2000 template available on the State Archives website, please print four copies:

- Your agency keeps copy number one (top) as its record of the request.
- Send the second, third, and fourth copies intact to the SRC.
- SRC staff attaches copy number three to the records requested. This copy must remain attached to the records when you return them to the SRC.

1. Item Requested. Request only one item per form.

If requesting an individual folder, indicate the folder title. No description is needed if requesting the entire container. Check the box only if you are requesting the entire container.

If you are not planning to return a folder, indicate this under Remarks. If you do not plan to return an entire container, use a "Records Withdrawal Authorization Form" (in Appendix E), and not this form.

2. Transfer List Number. Indicate the transfer list number for the item. Your RMO has this information.

3. Agency Container Number. Indicate the agency container number from the above transfer list for the item requested. Include the barcode label number, if known.

4. Agency. Indicate your agency's name or two-digit agency code.

5. Shelf Code. Indicate the SRC shelf code for the requested item. Your RMO has this information.

6. Name. Print your name or that of your RMO. Access is limited to authorized agency staff.

7. Address, Telephone Number, or Other Contact Information. Print your delivery address, telephone number or any other relevant contact information. Check the box only if you will pick up the requested item.

Appendix E

REC-8 (04/05)	RECORDS CENTER INTERFILE TRANSMITTAL			RECORDS CENTER USE	
TO BE COMPLETED BY AGENCY					
1. DESCRIPTION OF MATERIAL				PROCESSED BY	
				REMARKS	
2. TRANSFER LIST NUMBER		3. AGENCY CONTAINER NUMBER			
4. AGENCY		5. SHELF CODE			
6. NAME (PRINT)		TO: STATE RECORDS CENTER, BUILDING 21 STATE OFFICE BUILDING CAMPUS, ALBANY, NY 12226			
NEW YORK STATE EDUCATION DEPARTMENT NEW YORK STATE ARCHIVES ● GOVERNMENT RECORDS SERVICES					

Instructions for Completing a Records Center Interfile Transmittal (REC-8)

Use this form to interfile records in a container already at the SRC. We can interfile new material only if you have left sufficient space in the container. This form is available on the State Archives website as a Word 2000 template.

- 1. Description of Material.** Indicate the name of the folder or folders to be interfiled.
- 2. Transfer List Number.** Indicate the transfer list number for the item. Your RMO has this information.
- 3. Agency Container Number.** Indicate the agency container number from the transfer list for the item to be interfiled. Include the barcode label number, if known.
- 4. Agency.** Indicate your agency's name or two-digit agency code.
- 5. Shelf Code.** Indicate the SRC shelf code for the container. Your RMO has this information.
- 6. Name.** Print your name or the name of your RMO.

Appendix F

REC-10 (04/05)	NEW YORK STATE EDUCATION DEPARTMENT NEW YORK STATE ARCHIVES GOVERNMENT RECORDS SERVICES		METHOD OF DELIVERY KEY: 1. Interagency Mail 2. Messenger/Courier 3. U.S. Mail 4. Agency will pick up 5. SRC will deliver 6. Other (specify)			
RECORDS WITHDRAWAL AUTHORIZATION <i>(To withdraw records that will NOT be returned)</i>						
TO: STATE RECORDS CENTER BUILDING 21 THE GOVERNOR W. AVERELL HARRIMAN STATE OFFICE BUILDING CAMPUS ALBANY, NEW YORK 12226			TRANSFER LIST NUMBER			
TRANSFER LIST NUMBER			WITHDRAWAL DATE			
RECORDS TO BE WITHDRAWN	CONTAINER NUMBER	RECORDS CENTER LOCATOR				DELIVERY METHOD
		Room	Row	Stack	Shelf	
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						
16.						
17.						
18.						
19.						
20.						
THIS WITHDRAWAL IS AUTHORIZED BY						
AGENCY	NAME		TITLE			
DATE	ADDRESS, TELEPHONE NUMBER, OR OTHER CONTACT INFORMATION					

.....

Appendix G

Instructions for Completing a Records Withdrawal Authorization (REC-10)

Use this form to withdraw records permanently from the SRC. If you plan to return the records, use the "Reference Request Form (REC-2)," instead. Limit each withdrawal authorization form to records from a single transfer list. This form is available on the State Archives website as a Word 2000 template.

Transfer List Number. Indicate the transfer list number that covers the records that your agency will permanently withdraw.

Withdrawal Date. Indicate the date that your agency will withdraw the records.

Records to be Withdrawn. Identify the records with a brief description.

Container Number. Indicate the container number in which the records are stored.

Record Center Locator. List the SRC shelf codes for each container of records you intend to withdraw. Your RMO has this information.

Delivery Method. Indicate one of the following delivery key codes:

- | | |
|----------------------|------------------------|
| 1. Interagency Mail | 4. Agency will pick up |
| 2. Messenger/Courier | 5. SRC will deliver |
| 3. U.S. Mail | 6. Other (specify) |

Agency. Indicate your agency's name or two-digit agency code.

Name. Type or print the name of your RMO or other individual authorized to approve permanent withdrawal of your agency's records.

Title. Indicate the title of your RMO or other authorized individual.

Date. Indicate today's date.

Address, Telephone Number, or Other Contact Information. Type or print the delivery address, telephone number, or other relevant contact information for your RMO or other authorized individual.

.....

Appendix H

Records Disposition Notification

The SRC will notify your agency's RMO approximately two months before records are scheduled for disposition. Below is an example of a completed Records Disposition Notification.

We will attach a detail report to your notification. This report will state which containers on your agency's transfer list are scheduled for disposition by destruction (code D) or by transfer to the State Archives (code A). Review and compare the detail report to the transfer list.

You must confirm receipt of this disposition notification before the beginning of the month that disposition will take place.

STATE ARCHIVES RECORDS CENTER	
Records Disposition Notification	
7/27/2004	
Summary Report by Transfer List	
Children & Family Services (CFS)	RIVERVIEW
Records on transfer list below are scheduled for disposition from 10/1/2004 to 10/31/2004. If any of these records should not be disposed of on this date, please notify the State Records Center in writing. Unless notified, the State Records Center will dispose of the records as scheduled.	
Please call the State Records Center at 457-3171 to confirm receipt of the notification.	
Transfer List	No. of Boxes for Disposition
000018	1
990055	1
990056	2
TOTAL NUMBER OF BOXES TO BE DISPOSED OF FROM 10/1/2004 TO 10/31/2004	4
For detailed information on records scheduled for disposition, see attached detail report.	

Appendix I

Information on the State Records Center Wastepaper Contract

Under the terms of a contract the State Archives administers through the State Records Center, state agencies and local governments can use the services of a designated paper recycler for secure and environmentally acceptable disposal and recycling of bulk quantities of obsolete paper records.

For agencies in the immediate Capital District, the recycling contractor provides several services at no charge, including pickup, secure handling, and, when necessary, shredding.

For more information on our recycling program and other shredding vendors, see the vendor lists on our website at <http://www.archives.nysed.gov/>

Making the Best Use of the Contract Services

The purpose of the service is to destroy and recycle paper records. The contract specifically excludes non-paper records material, such as wastebasket refuse, books, periodicals, magazines, newspapers, typewriter or printer ribbons, carbon paper, plastic or vinyl ID cards, licenses, stickers, computer tapes, diskettes, cassettes, microfilm, microfiche, and other non-paper materials. You can arrange to destroy microfilm and computer media outside of the contract.

Remove all non-recyclable contaminants from records you want recycled, including but not limited to file guides, Kraft and expansion folders, hanging file folders and frames, all types of binders, and metal prong fasteners (see a full list below). You can include small quantities of rubber bands, paper clips, staples, and clear tape.

To help the State Records Center monitor contract performance, please send a receipt for each pickup made during the month to the State Records Center, Building 21, State Office Building Campus, Albany NY 12226, by the 15th of the following month.

All records destroyed under the provisions of this contract must be covered by approved State Archives retention and disposition schedules.

Under the terms of the contract, all revenue from the sale of the recycled paper is deposited into a dedicated State Archives internal service account to offset the cost of administering the contract.

Recyclables and Non-Recyclables

Below is a list of recyclable and non-recyclable materials. Use it as a guide when sorting your recyclable materials. If an item does not appear on this list, or if you have any questions regarding recycling, call the recycling contractor.

Recyclables	Non-Recyclables
Computer printouts	Food waste
Old files	Food containers
Rubber bands	“Kleenex” or tissues
Typing paper	Paper towels
Accounting ledger sheets	Napkins
Colored writing paper	Coin wrappers
Plain envelopes	Metal
Index cards	Wood
Plastic tabs	Glass
Binder clips	Fluorescent colored paper
Fax paper	“Carbons” from duplicate forms
Carbonless forms	Packing peanuts
Tab cards	Copier paper wrappers
Fasteners	Bubble packing
Post-It Notes	Tyvek envelopes
Copier paper	Padded mailing envelopes
Memos	Wire
Manila file folders	Corrugated materials
Letterhead stationery	Plastic
Glossy brochures	Typewriter and printer ribbons
Pamphlets	Toner cartridges
Blueprints	String
Masking tape	Hanging file folders
White/colored bond paper	
Calculator tapes	
Message pad paper	
Unbound reports	