



Procedures for the Transfer of Historical Public Records to the State Archives

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These procedures shall be read together with *State Archives Policy 01: Transfer of Historical Records to the State Archives* to ensure full understanding of State Archives policy regarding the transfer of historical records to the State Archives or the transfer of historical public records to another approved archival repository.

For the purposes of this document, the term "shall" indicates a requirement and the terms "should" and "may" indicate a recommended or best practice.

I. PUBLIC AGENCY RECORDS

A. Appraisal and Accessioning

1. Analog Records

The following procedures govern state archival operations in accessioning non-digital archival public agency records into the Connecticut State Library:

- (a) Prior to contacting the State Archives, the state agency Records Management Liaison Officer (RMLO) or public agency records custodian shall review the current records retention schedules published by the Office of the Public Records Administrator to determine if the records have met the appropriate retention periods.
- (b) State Archives staff must appraise all records to confirm archival value prior to their transfer to the State Archives, which may require an on-site visit. Before scheduling the visit, the agency RMLO must ensure that State Archives staff will be able to access the records and that the records custodian or other knowledgeable person is available to answer questions about the records' function and content. For more information on archival appraisal see *How Archives Staff Appraise Records for Archival Value*. (<https://ctstatelibrary.org/state-archives-records-appraisal-process/>)
- (c) The RMLO may designate other agency personnel (e.g. the records custodian) more familiar with the records to act as the contact persons.
- (d) If the State Archives staff determines that the records have archival value, the public agency is responsible for boxing and labeling the records, creating container lists, and consulting with State Archives staff regarding the date and time of transport in accordance with the requirements outlined in the policy document.
- (e) State Archives staff cannot accept below-standard, improperly constructed, over-packed, or damaged boxes. Such items will be returned to the public agency.

- (1) **Boxes.** Agency personnel shall use standard 1.0 cubic foot records cartons in order to ensure proper handling and transport. The records carton must meet the following specifications:

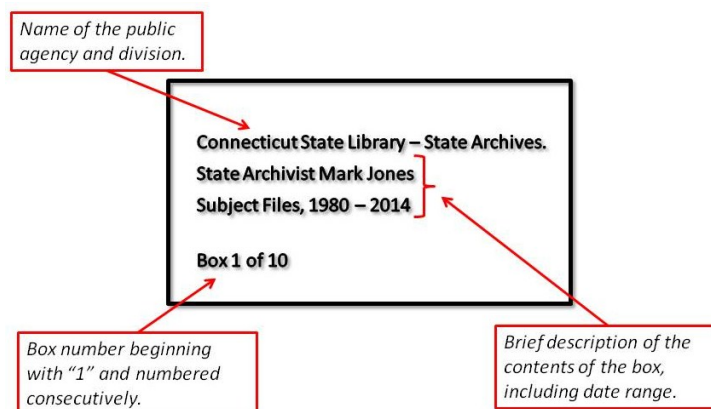
- Construction: multilayered corrugated cardboard / double-walled.
- Inside Dimensions: 12"(w) X 15"(d) X 10"(h).
- Stacking Weight: at least 800 pounds.
- Size: letter or legal-size (stored lengthwise) files.
- Lid Closure: removable (lift-off) locking lid that clasps into the handle.
- Handles: reinforced hand holes that are less likely to tear.

The Fellowes R-KIVE® Banker's Storage Box is an example of a well-manufactured box that meets these specifications.

- (2) **Packing the Box.** Boxes must be properly constructed. Public agency personnel must retain the original filing system order for the records when placing them into the boxes. **Do not** remove records from file folders. Do not remove, however, file folders from hanging folders as these hanging folders do not properly fit into a box and will damage it. If the records are loose in the hanging folder, contact the State Archives staff for assistance. Do not over-pack boxes. The weight limit for each box is 40 pounds.

- (3) **Labeling the Box.** Public agency personnel must label boxes with the following information:

- Box number beginning with "1" and numbered consecutively.
- Name of the public agency and division, e.g., "Connecticut State Library – State Archives."
- Brief description of the contents of the box, e.g., "State Archivist Mark Jones' Subject Files, 1980 – 2014."



- (4) **Container List.** Archives staff **will not** accept records without a container list. At minimum, the list should be by box. The RMLO or contact person should send the

electronic version of the container list to the State Archives before the physical transfer and a hard copy should accompany the shipment.

- (5) **Memorandum of Transfer.** The RMLO or records custodian shall complete the Connecticut State Archives *Memorandum of Transfer* form (<https://ctstatelibrary.org/transferrmemo/>) prior to transfer. State Archives staff will sign the Memorandum of Transfer after physically receiving the records and return a copy to the public agency for its records. The State Archives will accept an electronically signed form.

The agency shall include the signed and completed form with the shipment or send it electronically to the State Archives prior to the pick-up or delivery of the records. The RMLO shall list on the first page of the form, any restrictions on access to the records such as, but not limited to citations for statutes, codes, and regulations; Criminal Justice Information System (CJIS) Policy; and/or Attorney General Opinions that restrict access to the records. If **no** such statutes, codes, regulations, CJIS Policy or Attorney General Opinions exists, the RMLO or records custodian shall check the box next to the statement to that effect.

- (6) **Transporting the Records.** Records custodians or RMLOs shall not send records through the mail, by courier, or other means of transport without first contacting Archives staff. In most cases, the State Archives staff will transport the boxes from the public agency to the State Archives. However, the State Archives reserves the right, in certain circumstances, to require a public agency to transport the boxes to a designated Connecticut State Library facility.

2. DIGITAL RECORDS

The following guidelines and procedures govern state archival operations in accessioning archival public agency digital records into the Connecticut State Library:

- (a) Although most digital record transfers will be by physical media (e.g. external hard drive, tape and/or optical disc), under certain circumstances other transfer options may be available. The State Archives requires agencies to use physical media that has not been previously used for storage or transfer of digital records. Transfer of physical media is managed the same as for analog records.
- (b) All password protection applied to any **files** shall be removed prior to copying to the transfer media.
- (c) The State Archives recommends protecting the media with a password. The transferring agency must provide State Archives staff with all device passwords. The following media is recommended for transfer of digital records:

- Removable/External Hard Disk Drives (HDD) – Removable/External HDD is a preferred option when transfers are significant in size. **The State Archives will only accept new, unused removable/external hard disk drives for transfer of digital records.**
- USB Flash Drive – Flash memory may be used as temporary storage to transfer files. **The State Archives will only accept new, unused flash memory devices for transfer of digital records.**
- Optical Media (DVD-R/CD-R) – Use high quality optical disks (e.g. Taiyo Yuden, MAM-A or equivalent) to store and transfer electronic records. Records storage on lesser quality discs may result in a corrupted or incomplete records transfer. **Note:** the State Archives cannot accept HD-DVD or Blue-Ray DVD at this time.
- Tape – Linear Tape Open (LTO) and Digital Linear Tape (DLT) are preferred. **Do not** use Digital Audio Tape (DAT).

Agencies have the option of using Secure File Transfer Protocol (SFTP), a secure version of File Transfer Protocol (FTP), which facilitates data access and data transfer over a Secure Shell (SSH) data stream.

- (d) If the State Archives staff determines that the digital records have archival value, the agency will need to:
- (1) Create an inventory of the digital files in a text file, using either Windows Notepad or Microsoft Word, which must include at a minimum a high level description listing all file types (i.e. docx, pdf, rtf, etc.); total size of transfer in either kb, mb, or gb; any software used in creating or maintaining the files (i.e. Microsoft Word); any compression or encoding used; list any encryption used (**Note:** encryption must be removed prior to transfer unless agreed to beforehand with Archives staff). Only the record creator should copy or move digital files from one folder to another folder because digital records need to be retained in folders to maintain the authenticity, context, and technical metadata related to the records.
 - (2) Retain any proprietary file formats and migrate files to open or well known formats such as jpg, tif, jp2, doc, docx, xls, xlsx, sxc, sxi, odp, ods, pdf, pdf/a, rtf, txt, html, warc, or csv. Public agency staff must migrate all audiovisual material prior to transfer as the State Library does not have the resources to convert them to file formats that meet the required preservation specifications. Any analog or digital audio files should be migrated to wav (preferred), mp3, or ogg. Any video should be migrated to avi (preferred), qt, mp4, or m4v.
 - (3) State Archives staff recommends that digital files be compressed into a zip folder to retain all associated file directory information and then copied onto formatted physical media or other State Archives approved transfer method.
 - (4) The transfer media must contain any associated metadata created or stored with the digital files. This includes, but is not limited to, exports from proprietary software into

tab delimited or comma separated value (csv) text file; a Microsoft Excel spreadsheet; or xml files; and any metadata created by public agency staff, contractors, and/or vendors.

The above zipped file and metadata requirements do not apply to IBM FileNet repository object stores. Contact State Archives staff if using FileNet for further assistance.

The above zipped file and metadata requirements do not apply to email accounts or messages in pst file format. The State Archives will not accept pst archive files as they are not a suitable preservation format and are dependent on Microsoft Outlook.

- (e) Following the initial transfer of digital records to the State Archives, staff will inspect all files including, but not limited to, a virus scan. Do not delete or destroy any files identified as permanent or archival prior to receiving official notification from the State Archives staff that it has completed the inspection process and the files do not need to be re-transferred.
- (f) In most cases, the State Archives staff will transport the physical media from the public agency to the State Archives. However, in some circumstances, the public agency may be required to transport the physical media to a designated Connecticut State Library facility.

B. Transferring Records to Another Approved Repository

1. The public agency shall notify the State Archives of its need to physically transfer records to an outside repository.
2. The public agency shall confirm that the outside repository has been approved for the storage of public records.

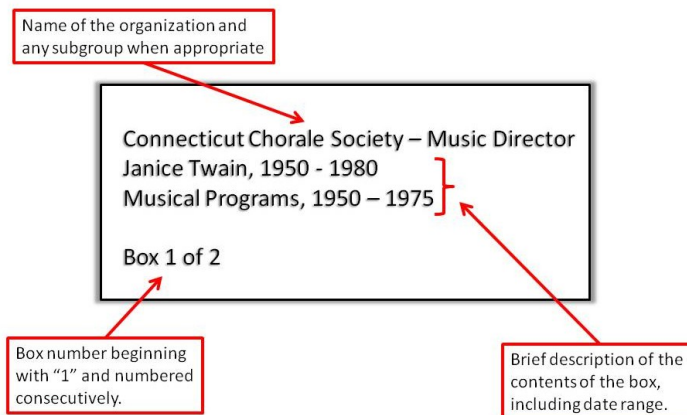
C. Accessing Historical Public Records

1. Staff members from the originating public agency are able to access historical public records transferred to the State Archives during normal public hours at the main State Library building at 231 Capitol Ave. Under certain circumstances, staff may access the materials by appointment at the State Archives off-site storage facility. For more information on how to request records and established public hours, visit Access to Archives & Secured Collections, <https://libguides.ctstatelibrary.org/hg/using-archival-records>.
2. The State Archivist may approve the temporary loan of particular sets of records back to the originating public agency on a case by case basis. Loans are for a 30 day period, renewable for additional 30 day periods, as necessary. A separate loan agreement is required for each instance. The State Archives loan requirements and loan agreement form are available upon request.

II. PRIVATE ENTITY RECORDS OR INDIVIDUAL PERSONAL PAPERS COLLECTIONS

The following guidelines and procedures govern state archival operations in appraising and accessioning non-digital archival private entity records or individual personal papers collections into the Connecticut State Library:

1. A private entity must designate someone within the organization familiar with the records to act as the contact person(s).
2. If the State Archives staff determines that the records have archival value, the organization is responsible for boxing and labeling the records, creating container lists, and consulting with State Archives staff regarding the date and time of transport in accordance with the requirements outlined in the policy document. The State Archives reserves the right to waive this requirement.
 - (a) **Boxes.** The organization shall use standard 1.0 cubic foot records cartons in order to ensure proper handling and transport. The records carton must meet the specifications described in A.1. above.
 - (b) **Packing the Box.** The organization shall follow the instructions for packing a box as described in A.2. above.
 - (c) **Labeling the Box.** The organization must label boxes with the following information:
 - (1) Box number beginning with "1" and numbered consecutively.
 - (2) Name of the organization and any subunit, e.g., "Connecticut Chorale Society – Music Director."
 - (3) Brief description of the contents of the box, e.g., "Musical Programs, 1950 – 1975."



- (d) **Deed of Gift.** The completed and signed form and a list of the contents of each container must accompany materials sent or delivered to the State Archives. The organization shall follow the instructions for a container list as described in A.4 above.
- (e) **Transporting the Records.** In most cases, the State Archives staff will transport the boxes from the organization to the State Archives. However, the State Archives reserves the right, in certain circumstances, to require an organization to transport the boxes to a designated Connecticut State Library facility.

3. Accessing Private Entity Records or Individual Personal Papers Collections: Donors are able to access records or papers donated to the State Archives during normal public hours at the main State Library building at 231 Capitol Ave. Under certain circumstances, donors may access the materials by appointment at the State Archives off-site storage facility. For more information on how to request records and established public hours, visit Access to Archives & Secured Collections, <https://libguides.ctstatelibrary.org/hg/using-archival-records>.