



PROCEDURAL LEAFLET

2011

TRANSFERRING PERMANENT RECORDS TO THE ALABAMA DEPARTMENT OF ARCHIVES AND HISTORY

Staff members of state agencies perform many services and functions in state government. At the heart of all this activity is documentation. Citizens of the state expect/demand services from their government, and they expect to be able to trace, through documentation, just how well government is performing its functions. Preservation of the historical documentation of Alabama government is one of the main functions of the Alabama Department of Archives and History (ADAH). It is therefore important for agencies to transfer their permanent records to ADAH in a timely manner. This leaflet explains procedures for preparing and transferring permanent records to ADAH:

1. Identify and Inventory Permanent Records for Transfer. Staff members of the agency should use its Records Disposition Authority (RDA), approved by the State Records Commission (SRC), to determine what records are eligible for transfer to ADAH. ADAH only takes permanent records that are listed in the agency's RDA into custody. If an agency does not have an SRC approved RDA, or needs help in identifying permanent records, contact the Government Records Division (GRD) of the Archives at (334) 242-4452 for assistance.

2. Obtain Supplies. After identifying permanent records for transfer to the Archives, agency staff should estimate the number of archival boxes needed to pack the records. Because the use of improper storage containers can accelerate the deterioration of paper, ADAH requires the use of specially made acid-free boxes. Each acid-free box is 15-inch x 12-inch x 10-inch in size and holds one cubic foot of records (in comparison, a legal file drawer holds 2 cubic feet). If agency staff is transferring less than one cubic foot or over-sized records that will not fit in regular boxes, GRD should be contacted for advice. Boxes and box labels can be ordered by calling the State Records Center/ADAH at (334) 242-4306 or GRD/ADAH at (334) 242-4452.

3. Pack the Records. After the archival boxes arrive, agency staff should:

- A. build boxes according to instructions printed on each box;
- B. place only one type of permanent records in each box (for example: meeting minutes, administrative files of agency director, etc.)
- C. ensure that all records are in folders and in the same order that they were kept in the office.

- D. remove all binder clips, rubber bands, and large paper clips from records prior to packing.
- E. place the records on the side with the hand hold (12 inch side) if all of the contents of a box are letter size records, or on the long side (15 inch side) if any of the contents of a box are legal size records. Do not overpack or force records into a box, leave at least one inch of space for ease of access.
- F. refrain from placing damp records or records containing mold, mildew, or insect-damage into a box (if any of these conditions exist, agency staff should call GRD for assistance).

3. Complete and Attach Box Labels. Agency staff should complete box labels according to the instructions below:

A. Type/print (in ink) the following information on the box label:

- * Department: name of the agency
- * Division: name of the division/office that has custody of the records
- * Records Title: record title exactly as it appears in the agency's Records Disposition Authority (RDA)
- * Inclusive Dates: dates of earliest and latest records in each box
- * Box Number: number assigned to each box (always start with number 1)
- * Total Boxes: total number of boxes in the shipment
- * Location Number: LEAVE BLANK (for ADAH use)

B. Attach the self-adhesive box label to the lower right-hand corner of a 12-inch side (the side with hand-hold).

4. Complete the Archival Records Transmittal Form. Agency staff should request the form by contacting the State Records Center or GRD. The form can also be downloaded from the ADAH website: www.archives.alabama.gov/officials/transform.pdf.

A. Agency staff should use and complete one transmittal form for each type of records (for example: meeting minutes is one type of records and requires one transmittal form).

B. Type/print (in ink) the following information on the transmittal form:

- * Agency: name of the agency
- * Division/Office: name of the division/office that has custody of the records
- * Mailing Address: mailing address of the agency
- * Authorized Agency Transferring Agent: name of the person with responsibility for storage and disposition of the records
- * Telephone: telephone number of the transferring agent
- * Archival Record Title: record title exactly as it appears in the agency's Records Disposition Authority (RDA) and on the box label
- * Total Number of Boxes: total number of boxes in the shipment
- * Arrangement: the category (alphabetical, chronological, numerical, or unarranged) that best describes the arrangement of the records
- * Restriction of Access: indicate if access to the records should be restricted.

- * Justification for Restriction of Access: any legal statute or regulation that restricts access to the records
- * Box Number: start with number 1 and number each box in the shipment. If the shipment is too large to list on one single form, use Archival Records Transmittal Continuation Form to continue the listing.
- * Box Contents: information on the contents of each box. When the records are arranged by a specific filing system (i.e. alphabetical, numerical, or chronological), indicate the contents of the first and last folders in the box (e.g., "Alabama - California," " Case No. 1 to Case No. 100," or "Year 2000 to Year 2010").
- * Box Contents Contain Social Security Numbers: indicate yes or no. Permanent records that contain social security numbers are still eligible for transfer, but access to the records (information on social security numbers) are restricted
- * Year Span: dates of earliest and latest records in each box
- * SG Number: LEAVE BLANK (for ADAH use)
- * Signature by Authorized Agency Transferring Agent and Date: signature and date by the same person that authorizes the transfer of the records.
- * Signature by ADAH Staff for Quality Control Review: LEAVE BLANK (for ADAH use)
- * Signature by ADAH Registrar: LEAVE BLANK (for ADAH use)

5. Schedule the Transmittal. Once the transmittal form is competed, agency staff should:

- A. notify and send/fax the form to GRD for scheduling a quality control review visit by one of its staff members.
- B. after the quality control review is completed and signed by the GRD staff, agency staff should arrange a date for delivery by agency staff or for the Archives staff to pick up the records.
- C. after ADAH has received the records and formally accessioned them, a copy of the transmittal form with an assigned accession number will be sent to agency staff as a receipt of the legal transmittal of records custody.
- D. agency staff should keep this copy of transmittal form in the office and refer to it in case of reference needs.

For further assistance, please contact:

**Department of Archives and History
Government Records Division
P. O. Box 300100
Montgomery, AL 36130-0100
Telephone: (334)242-4452 FAX: (334)353-4321
ADAH web site: <http://www.archives.alabama.gov>
e-mail address: records@archives.alabama.gov**